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ABSTRACT

A practical guide to the process of selecting and appointing new college presidents is presented, based on a literature reivew, questionnaire responses, and institutional case studies. The following nine steps in the process are examined: (1) establishing the machinery of search and selection; (2) organizing the committee; (3) formulating the criteria; (4) selecting the pool of candidates; (5) screening candidates; (6) interviewing candidates; (7) selecting top candidates; (8) appointing the president; and (9) final tasks. Specific concerns include: the choice of search and selection committee members, use of professional help, public information and recordkeeping, deriving presidential criteria from an appraisal of an institution's present condition and future prospects, issues to consider for private colleges and public four- and two-year colleges, legal requirements for presidential search committees, and filing a summary report. In addition to eight checklists for each step of the selection/appointment process, supplemental materials include: a sample time table, a sample institutional profile on which a presidential search was based, a list of organizations that will provide the names of female and minority presidential candidates, interview procedures and questions, and sample letters and memoranda. (SW)

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PRESIDENTIAL SEARCH

A GUIDE TO THE PROCESS OF SELECTING & APPOINTING COLLEGE & UNIVERSITY PRESIDENTS

BY JOHN W. NASON

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PRESIDENTIAL SEARCH

A GUIDE TO THE PROCESS OF SELECTING & APPOINTING COLLEGE & UNIVERSITY PRESIDENTS

BY JOHN W. NASON
ASSISTED BY NANCY R. AXELROD

Sponsored by the W. K. Kellogg Foundation
of Battle Creek, Michigan

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FOREWORD

ADVISORY BOARD MEMBERS
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The Association of Governing Boards has long been concerned with the selection process. The choice of a new president or chancellor is the most important and far-reaching responsibility of any board, and it has remained a frequent subject of inquiry to AGB staff for several years.

Recognizing the importance of the quality of the selection process on the entire higher education enterprise, the W. K. Kellogg Foundation generously funded our proposal to develop a set of guidelines for search and selection committees. We express our thanks to the Foundation, and to Dr. Arlon E. Elser who has served as our program officer, for their understanding of the significance of this study and for their support in making it possible.

The simplest part of this project was selecting the individual most qualified to serve as project director: Dr. John W. Nason brings to this task a distinguished record of service as president of Carleton and Swarthmore colleges and trustee of Vassar College. This monograph is an in-depth examination of one of the ten board responsibilities he addresses in his report to the AGB Commission on the Future, *The Future of Trusteeship: The Role and Responsibilities of College and University Boards*. We are grateful to him for accepting yet another assignment which demanded his special talents.

Nancy R. Axelrod, Director of Special Projects at AGB, was selected to work as Assistant Director to John Nason because of her past work with board members who sought guidance in presidential search and other governance matters. We share her pride for her contributions to the effort.

This project has been enriched by the guidance of the knowledgeable and experienced members who serve as the Advisory Board for this project. Their individual and highly diverse institutional perspectives were a constant reminder to the project staff that there is no single or completely fail-safe way to conduct a presidential search. The members of the Advisory Board are listed above.

The presidents, trustees and other educators who served on this board directed John Nason to address the procedures of presidential search in one single document. While emphasizing the similarities in presidential search, selection and appointment across institutional lines, the text does point out some of the differences which must be taken into consideration for public and private, two-year, four-year and multicampus institutions. The text also attempts to provide boards and search committees with

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Trustee, Prince George's Community College
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Sid R. Thomas
Student Regent, Montana University System
Mary St. John Villard
Chairman, Board of Trustees, Vassar College

choices which must be considered on the basis of the many subtle but important factors which enter the picture.

The presidential selection process should be viewed as an opportunity to establish a foundation upon which a review of presidential performance may subsequently be conducted by the board. Clearly defined criteria of performance and a statement of board expectations presented to the president at the time of his or her appointment should be an essential part of the presidential assessment process.

John Nason and Nancy Axelrod are currently at work, under the guidance of the Advisory Board, on a companion volume which will provide the results of the second part of the AGB study on presidential selection and assessment. It will constitute a sequel to this monograph in the hope that the board responsibilities for presidential selection and assessment will be considered together.

This second effort will complement AGB's earlier development of procedural guidelines and criteria for self-study by boards of trustees.* We believe that when a board wisely chooses to assess its organization and performance, it is also reviewing the performance of the chief executive. Likewise, a board which elects with the chief executive to review the effectiveness of the office of the president, is also looking at its own viability as an organization. AGB is pleased to provide useful materials to acknowledge the importance of both board and presidential assessment.

Robert L. Gale
President

***Self-Study Guidelines and Criteria* are available for Community College Governing Boards, Private College and University Governing Boards, Public College and University Governing Boards, Governing Boards of Public Higher Education Systems and Boards of State Postsecondary Education Planning and Coordinating Agencies.**

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PREFACE

The turbulent decade of the 1960s was not easy on college and university presidents, nor has the financial crunch of the 1970s made their lives much easier. In spite of dire predictions, however, that college presidents are an endangered species, the rate of annual turnover has not greatly changed in the last quarter century. According to the National Center for Education Statistics *Education Directory, Colleges and Universities 1977-78,* 324 postsecondary institutions changed presidents in that year—224 four-year institutions and 100 two-year. Viewed from another angle 110 were public institutions (44 four-year and 66 two-year) and 210 were private colleges and universities (180 four-year and 34 two-year).

With such a substantial number of new presidents being selected each year, one would think that sound procedures would have evolved and that boards of trustees would know from experience and example how best to proceed. A variety of effective procedures have indeed emerged, but mistakes continue to be made—mistakes that are costly to the institution and that could have been avoided with better committee understanding and performance.

This document is, therefore, a practical guide to the process of selecting and appointing new presidents. It is a distillation of what has been written on the subject—for the most part articles tucked away in the wide spectrum of educational journals plus two outstanding and more readily available booklets. These are Bolman's *How College Presidents Are Chosen,* published in 1965 by the American Council on Education, and Kauffman's *The Selection of College and University Presidents,* published in 1974 by the Association of American Colleges, the best short treatment of a complex problem.

This earlier information was supplemented by the responses to questionnaires sent to the board chairman, the chairman of the selection committee (who might be the same person) and the president of 450 colleges and universities which we could identify as having appointed new presidents in 1975-76 and 1976-77. Replies were received from 326 institutions or 72%, many with extended and interpretive comments and detailed outlines of procedures. These proved immensely valuable, as can be seen from the many quotations which illumine and enliven the following pages. Our pledge to respect the confidential character of all information not already in the public domain prevents acknowledgement by name of the many trustees and presidents who have enriched this

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study. Let me take this opportunity to thank them as a group.

Recognizing that the full story of the successes and failures of the selection process is almost never made public, we selected 22 institutions of various types—public and private, four-year and two-year, predominantly black, women's, church-related—for personal investigation. So far as possible the president and all members of the search and selection committees were individually interviewed. These conversations provided not only an extraordinarily candid composite picture of how the president was selected, but also an at times startling impression of the different viewpoints and interpretations of individual members of the committees. To them also thanks are due.

From beginning to end this manual has been guided and shaped by the wisdom of the members of the Advisory Board who have attended meetings, read manuscript, assisted with appointments, and in other ways contributed to its production. Their diversity of viewpoints has helped both to avoid errors and to enlarge the horizon. Joseph Kauffman, Professor of Educational Administration at the University of Wisconsin Madison and author of the useful booklet already referred to, has served as consultant, adding generously of his knowledge and making a number of the field investigations.

This work would not have been possible without the constant encouragement and help of that remarkable and delightful crew who make up the AGB staff. They work so well together, and it is such a pleasure to work with all of them, that it becomes invidious to start singling out some by name. Obviously nothing happens at AGB—at least nothing good—without the involvement of that formidable doubles team known as Gale and Ingram. And in my case there is a special obligation to my associate, Nancy Axelrod, who in addition to her many other responsibilities served as Assistant Director. Since she dug up most of the material, processed the questionnaires and the replies, carried her share of field work, she deserves to be billed as co-producer. Working with her has been a constant pleasure.

To the Kellogg Foundation and particularly to Arlon Elser whose support has been essential I pay my thanks for the opportunity of joining with them in a service to education.

John W. Nason
Keene, N.Y.

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INTRODUCTION

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SOME PRELIMINARY CAUTIONS

The most important single responsibility of a board of trustees is the selection and appointment of a new president.

It is important because the president occupies the central role in the life of the institution. As the agent of the board and the embodiment of its authority, he or she is the most powerful and influential individual in the academic community. Externally the president is seen not only as representing the institution and its values, but also as determining those values and therefore its contribution to society. Internally the president is looked to for educational leadership and is expected to direct and control what in a large university can be a complex and difficult academic orchestra.[1]

Because the outcome of the process of selection is so important to the institution, it must not be taken lightly. It involves long hours, hard work and the judicious balancing of diverse viewpoints, judgments, professional and personal qualifications. Presidents ought to be better than the average run of mankind, but they are not supermen or women. There are plenty of aspiring candidates, some of whom have or will develop on the job the necessary qualifications. Over 300 are selected each year. If careful thought is given to what the college or university needs in its president and if sensible procedures are followed in finding that individual, the complex process becomes manageable and the results satisfactory.

The board or selection committee needs to be aware, however, of certain factors which determine the climate or context in which the selection process takes place. Five are of general import.

1. "With all his travel, however, all his limitations of time and insight," wrote Douglas Knight 20 years ago when president of what is now Lawrence University, "he is the one person who gives his allegiance to the whole institution. He is committed to the *relationship* of all the varied enterprises that make up his community, and no other person in that community has them all equally at heart." *Association of American Colleges Bulletin*, vol. 44, no. 4, December 1958, p. 646. The article carries the title, "The Waking Nightmare: Or How Did I Get Into This?"

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1. The kaleidoscope character of postsecondary education since World War II requires people of very different talents for different types of institution and, indeed, for the same institution at different stages in its life. The traditional image of the benign scholar-administrator is as archaic as the institution over which he or she presided. The extraordinary growth of higher education in the past quarter century, the proliferation of subject-matter and services to satisfy the demands of new clienteles, the advent of collective bargaining, the increasing involvement of state and federal agencies, the turbulence of the 1960s, and now the financial pressures resulting from declining enrollments and the prospect of declining resources—these and many other factors have complicated the presidential task.

Should we look for scholars to lead the faculty, managers to coordinate complex operations, fund raisers *par excellence*, negotiators to arbitrate and compromise conflicting forces and constituencies, educational statesmen with vision and charisma? There is no longer a single model of the model college president. *Before deciding whom they want, boards must decide what they want.* They must decide where the institution is, where it is going or should go in the next five to ten years, and what kind of person can best lead it there.[2]

2. One of the major complicating factors in college and university administration has been the diffusion of the presidential power through what has come to be called shared governance. Colleges and universities are not political democracies, though there are some who would have them so organized. Nevertheless, the principle that government should rest on the consent of the governed is today so widely held in the academic world that participation by faculty and increasingly by students and alumni in the selection of a new president is considered necessary for the legitimation of his or her authority. In many state universities such participation is mandated by law. And where the governor is not a member of the board *ex officio*, it is not uncommon to consult him or her, as well as other state officials and influential legislators.

2. See bibliography at the end of the chapter for a few references to the extensive literature on the changing nature of the president's job.

EQUAL OPPORTUNITY REQUIREMENTS

3. The mid-60s saw the beginning of federal and state legislation respecting equal opportunity employment and affirmative action. Employment, promotion and compensation in education as well as elsewhere are now regulated by a series of federal and state laws and bureaucratic regulations. Their purpose is commendable—to eliminate discrimination in hiring, promoting and compensating employees on the basis of sex, age, race and ethnic background is in line with accepted national policy. Although they make more complicated the work of selection committees, they remind us of our moral responsibility to keep wide open the doors to employment in education.

ACADEMIC PREFERENCE FOR OUTSIDERS

4. The preference of the academic world for selecting outside presidents rather than following the common business practice of training a successor within the organization presents a further complication. Various studies in recent years indicate that approximately 30% of college and university presidents are promoted from within, sometimes as a last resort when the search and selection process has aborted. This is the reverse of what happens in the business world where likely candidates for future leadership are identified early, provided with on-the-job training, groomed for the top positions, and then in due course promoted to top positions by decision of their predecessors and the boards of directors.

There are those who fault education on this score, and therefore it is necessary to understand why colleges and universities have tended to resist the practical procedures of the business world. One obvious reason is the difference between the hierarchical exercise of authority in business and the participatory feature of academic governance. It is rare for the outgoing president to exercise a determining influence in the selection of his or her successor. Indeed, since changing circumstances may have created new problems and different needs for the institution, it is generally considered wise for the president not to participate in the final choice of his or her successor (although participation in the search and screening phases may be helpful).

The selection of a member of the faculty presents political problems. Unless some one individual stands head and shoulders above the rest and commands respect from a wide spectrum of the faculty, the choice of a member of one department or school is likely to be seen as premonition of a probable shift in institutional values and programs. The prospect creates apprehension. Administrative officers suffer the disadvantage that they have inevitably made decisions unpopular in certain quarters. Somehow their defects loom larger than their virtues, and faculty tend to prefer the uncertain qualities of the outsider to the known weaknesses or alleged biases of the insider.

A change in the leadership of a college or university is in most cases a profoundly disturbing event, for it involves, or should involve, a reappraisal of the values and direction of the institution. An insider would seem to have the obvious advantage of knowing the institution and being able to keep it on course, and in times

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of emergency faculty as well as trustees are likely to turn to such a person. The time may come when this procedure is more widely followed. At present, however, the outsider is generally perceived by the faculty to be less threatening to their particular interests and so gets the initial support which is so essential to future success.[3]

CRISIS VS. NORMAL TRANSITION

5. The problems which boards face when a vacancy occurs in the office of the president vary with the nature of the president's departure. A considerable number of these vacancies are the result of normal retirement or resignation to accept the presidency of another institution. In these situations ample advance notice of the transition has normally been given, so that plans can be carefully made for the choice of a successor. Other causes of vacancies are death in office, sudden resignations in the face of personal or institutional catastrophe and resignations under pressure. There is clearly a difference between the transition which has been foreseen well in advance and the crisis situation which catches the institution and its board of trustees unaware and unprepared.

This frequency of unanticipated departures should provide a cautionary note to boards of trustees: it is well to have one's machinery and procedures in place well before the event. The situation at the University of Vermont provides a good example of the problem. When in 1975 the president suddenly announced his resignation (to accept a new post in this case), the university was facing a series of crises—a comprehensive planning program, the challenge of collective bargaining, pressure to reduce expenditures. "The resignation could not have come at a more inopportune time," writes John W. Moore, Associate Vice President. "At that point we learned an important lesson: A university should maintain a fully developed procedure for handling the resignation of the president and for organizing the search for a new chief executive."[4]

MYTH OF THE PERFECT PRESIDENT

Two final words of caution should be kept in mind by all boards of trustees and their committees of selection. First, there is no single and ideal search and selection process. The best procedure will be one adapted to the nature of the institution and its particular circumstances. The large state university surrounded by diverse political pressures will need to proceed more cautiously and circumspectly than a small church-related college where choice is limited to a member of the religious denomination or order. And the college which has run through three presidents in five years has a different problem on its hands from one which is seeking a successor to a president who has served for 25 years.

Second, there is no such thing as the ideal college or university president. The differing needs of different institutions and the complex demands made of the president require different people with often quite different skills and qualities. No one possesses them all. The man or woman who might be a brilliant success at one institution may be a dismal failure at another. The important thing is the fit between the individual and the institution. Some candidates will clearly fit better than others, but an adequate search process should discover more than one individual who would be "ideal" for the institution involved. People change. Some grow under the pressures and opportunities of the position. The individual who looks less than perfect at the start may prove in time to be a winner.

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3. One of the most interesting treatments of this problem is to be found in Robert Birnbaum's "Presidential Succession: An Institutional Analysis," *Educational Record*, vol. 52, no. 2, Spring 1971. For a somewhat different view see Paul C. Reinert's article in *AGB Reports*, vol. 16, no. 7, April 1974.

4. "Candor and Communication Mark Presidential Search," *CASE Currents*, vol. 2, no. 9, October 1976, p. 10.

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ADDITIONAL SOURCES OF INFORMATION

Kauffman, Joseph F.: *The Selection of College and University Presidents,* Association of American Colleges 1974. This is the best brief analysis and set of guidelines on the topic—well worth the time of trustees and members of search and selection committees.

Bolman, Frederick deW.: *How College Presidents Are Chosen,* American Council on Education 1965. An older but highly readable treatment based on a survey of 116 private and public colleges and universities.

Bennis, Warren: *The Leaning Ivory Tower,* Jossey-Bass Publishers 1973. An entertaining account of the author's experiences in various administrative posts and as a candidate before a dozen selection committees "being examined rather like a bolt of felt, as I sometimes thought."

There is an extensive literature on the changing nature of the president's job and of the current expectations faced. A few of the more perceptive and useful treatments are:

Mayhew, Lewis B. and Glenn, Jr., James R.: "College and University Presidents: Roles in Transition" in *Liberal Education,* vol. 61, no. 3, Oct. 1975. A useful survey of the changing roles in the 19th and 20th centuries.

Corson, John J.: "From Authority to Leadership" in *Journal of Higher Education,* vol. 40, no. 3, March 1969.

Millett, John D.: "The Multiple Roles of the College and University President," American Council on Education 1976.

Cohen, Michael D. and March, James G.: *Leadership and Ambiguity: The American College President,* a report prepared for the Carnegie Commission on Higher Education, McGraw-Hill 1974. An important recent study—provocative and controversial.

The Contemporary College President: Pressures and Challenges, Selected Papers from the Summer Council of Presidents, published by the American Association of State Colleges and Universities 1977.

Kerr, Clark: *The Uses of the University,* Harvard Univ. Press 1963, chapter 1. A classic treatment of the problems of the modern "multiversity" with reflections on the role of its president.

Perkins, James A.: *The University in Transition,* Princeton Univ. Press 1966.

Editorial Projects for Education: "The Impossible Job? A Special Report on What It Takes to Run a College These Days" 1976.

McIntosh, Elaine and Maier, Robert: "Management Skills in a Changing Academic Environment" in *Educational Record,* vol. 57, no. 2, Spring 1976.

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STEP ONE—ESTABLISHING THE MACHINERY OF SEARCH AND SELECTION

CHAPTER 1

Once the president has resigned or been fired, died or announced the date of retirement, the board of trustees must create and set in motion the machinery by which his or her successor will be found. Logically the board's first step should be to decide what kind of person can best answer the institution's needs over the next decade. The development of long range plans, which should include up-dated analyses of the institution's problems and needs, is a continuing trustee responsibility; and those boards which have conscientiously fulfilled this obligation are in a highly advantageous position. "We kept abreast of our needs," wrote one university board chairman in response to our questionnaire, "and we kept those in mind when considering an applicant or nominee." Another was even more positive: "We knew where we wanted to go and found a man who wanted to ride along with us."

These, unfortunately, are the exceptions. In some situations, particularly where the retirement date allows sufficient lead time, an institutional self-study can be initiated with the express purpose of deciding where the institution should be heading, what needs must be met, and consequently what skills and strengths the new president must have. This important exercise will be discussed in Chapter 3.

ACTING PRESIDENTS: PRO AND CON

Another way of coping with a change in leadership is to appoint an acting president. "It is my considered opinion," writes Frederic W. Ness, then President of the Association of American Colleges, "that many colleges and universities, when confronted with a presidential change, are in fact *not* ready for a new leadership and that by a premature selection they do the institution a disservice that can seriously affect its future."[1] The obvious advantages, as Ness proceeds to point out, are (1) time for the kind of institutional study of goals and needs on which a presidential search could be intelligently based and (2) help from the acting president who can "guide the trustees through the intricacies of the search and selection process." An acting president may be found within or without the institution, one absolutely essential condition being that he or she is in no way a candidate for the permanent position.

On the other hand, the appointment of an acting president is a holding operation. Outgoing presidents, unless their departure is sudden and unexpected, tend not to promote major changes in their last year in office. Incoming presidents usually wait at least a year before advocating new policies of a major nature. With an acting president for a year in between, the institution experiences a three-year period of indecisive leadership—indecisive, i.e., in the sense that major changes in or reaffirmations of policy and of program are largely postponed. Trustees, faculty, students who have lived through such periods know how frustrating they can be.

When faced with a crisis precipitated by the death or sudden departure of the president, trustees have little option but to appoint an acting president. The question is whether more boards would be wise to follow Ness' advice. Cohen and March in their provocative study of current college presidents, estimate that since World War II about 4% of college and university presidents hold strictly temporary appointments.[2] It may well be that more institutions should follow this practice which, as pointed out, has the advantage of enabling them to decide on the profile of the new president before setting up the machinery of search and selection.

Desirable as it is to know where one wants to go before riding forth, the hard fact remains that most boards of trustees do not have clear blueprints in front of them when they start looking for a new president. Such blueprints are clearly important at a change in administration. And since it is difficult to assess the qualifications of multiple candidates without agreeing on the criteria to be used, selection committees are forced to decide on their own criteria. In some cases this is done at the instruction of the board; in others, by their own decision. In either case, it is a poor substitute for a carefully considered decision by the board as a whole.

WHAT KIND OF COMMITTEE(S)?

Whatever the ideal procedure may be, for most institutions the first step is the appointment of a search and selection committee or committees.[3] The trustees have four options:

1. To constitute themselves a committee of the whole.

2. To appoint a single search and selection committee.

3. To establish two committees—one search and one screening.

4. To appoint a trustee committee plus one or more advisory committees of faculty, students and others.

1. The charter or bylaws of some church-related colleges restrict the choice of president to a member of the religious denomination or order. Since this limits the number of qualified candidates, it is sometimes possible for the board as a whole to proceed with the choice of the new president. Very occasionally an internal candidate is so obvious a choice that the board makes the appointment without undertaking a search.[4] Or again, the board may feel its responsibilities so keenly that it prefers to proceed by itself. As the chairman of one community college reported: "Since, by law, it is the responsibility of the board to appoint the president, this

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1. "The Right Time: The Wrong Question" in *AGB Reports*, vol. 13, no. 9, July-August 1971, p. 6.

2. *Leadership and Ambiguity: The American College President*, McGraw-Hill 1974, pp. 165-66.

3. The terms used to describe committee functions can be confusing. Search committees are sometimes limited to generating a roster of candidates, as discussed in Chapter 4, sometimes expected to carry the process through to the recommendation of one or more acceptable candidates to the board of trustees. Similarly, selection committees rarely "select" the new president; they screen the candidates and nominate or recommend one or more to the board for appointment. The term "screening committee" is used at some institutions.

4. "In our case the procedure was extremely simple," wrote the chairman of an independent college, "consisting of a meeting of the president, vice president of academic affairs, vice president of development and the writer. We were unanimous in our choice of a candidate who was then

duty was not shared or delegated."

2. The most common practice is the single search and selection committee. Normally such a committee is composed of trustees, faculty, students and not infrequently alumni, administrative officers, line staff, representatives of the community. Critics of the single committee complain that it is too large to be efficient and that, by being representative of all or at least several constituencies and trading off their various preferences, it runs the risk of ending up with mediocre candidates. "In my view," wrote a member of the selection committee of a liberal arts college, "the broad-based search committee is most likely (on the average campus) to produce a compromise candidate. In many instances this may not be the best result for the institution—a quantum jump may be needed."

On the other hand, the response to our survey was replete with comments about the unifying effect of joint committees. Typical of these was the statement by the search committee chairman of a state university: "Our process worked so well that the individual constituencies became a committee of the whole and disregarded their particular loyalties. As a result, nothing would deter them from seeking the most highly qualified candidate for the presidency. . . . Truly a unique committee with a singular mission."

3. A less common method is the establishment of two committees—one for search and the other for screening, or one for search and screening and the second for selection of the final acceptable candidates. Frequently the former consists of faculty, students and others with one or two trustees as liaison (though some have no trustees), while the latter is composed of trustees. This arrangement has the advantage of dividing up the work and in particular of assigning the most time-consuming stages, the search and preliminary screening, to faculty or to faculty, students and staff who have the interest and can afford the time necessary. It further reassures local groups—faculty in particular, but also, in community colleges, local sponsors and influential citizens—that the new president will be acceptable to them, since those not acceptable will have been screened out.

The danger in the dual committee system lies in the opportunity for the search and screening committee (composed of non-trustees or dominated by faculty with only one or two trustees as members) to usurp the function of the selection committee. It can dictate the final choice by concluding that only one candidate is suitable or by giving one individual so strong a priority rating as to amount to the same thing. The chairman of a distinguished private university, for example, reported: "The search was originated on the theory that there would be a search committee to screen candidates and recommend five to six qualified candidates to the selection committee. . . . However, the search committee and particularly the faculty and students thereof began to regard themselves as the selection committee." He goes on to suggest that the next time he would recommend a single selection committee with advisory committees of faculty, students and administrators.

4. This brings us to the fourth option—a search and selection committee composed of trustees (or nearly so) buttressed by a series of advisory committees representing faculty, students, alumni and occasionally others. This permits consultation with faculty, students and other constituencies while keeping the selection process in the hands of those primarily responsible for the final appointment. It avoids the polarization between trustees and these other groups to which reference has already been made. It keeps the central committee of selection small enough to be manageable, a frequent criticism which surfaced in our survey being the unwieldy size of committees.[5]

Except for the first method, which is applicable only in special situations, the choice of committee machinery should depend on the temper of the campus and its recent history of faculty-administration-trustee relations. Where those relations are harmonious, it probably does not matter what structure is used, and a single committee presents no major problems. Where relations have been strained, it may well be that advisory committees of faculty, students, administration and others will avoid some of the friction.[6] The outstanding advantage of the single broadly based committee is the strong sense of unity and common enterprise which the jointly undertaken work of the committee generates. Respondent after respondent testified to the new perspectives and broader understanding which resulted from trustees, faculty and students working together for a common goal. This is a fringe benefit not to be minimized.

CHOICE OF COMMITTEE MEMBERS

The range in size of search or search and selection committees in our survey was as follows:

	range	median
4-year public	3-21	10
2-year public	3-17	1[illegible]
private university	6-21	10
4-year private college	4-25	10
4-year church-related	3-21	10
2-year private	7-17	10

The uniformity in both the range and median figures is striking, and the size at the upper end of the range explains the frequency of the criticism that committees were too large to be efficient—both with respect to regular attend-

interviewed and informed and who subsequently accepted the position."

5. Various commentators on the selection process recommend this formula. See Joseph F. Kauffman: *The Selection of College and University Presidents*, pp. 27-28; Manning M. Pattillo: "How To Choose a College President" in *AGB Reports*, vol. 15, no. 5, February 1973; Paul C. Reinert: "The Problem with Search Committees" in *AGB Reports*, vol. 16, no. 7, April 1974.

6. But note the interesting comment of the board chairman of a well known liberal arts college: "The procedure of having three advisory committees was cumbersome and produced much dissension. This search took place at a time in the life of the college when as a result of previous administrations there was little confidence in the administration and distrust of the trustees. There need to be mechanisms to obtain the advice of faculty, students and alumni, but I would not use the same procedure that we used in this case. Our problem was that the initial screening was done by the faculty, for the most part because of their pres-

ance of members and to meeting the deadline for recommendations.

The following table shows the distribution of committee membership among the chief constituencies. Many committees, as noted, contained administrative officers, non-faculty staff, local citizens, state education officers and others.

	trustees only	faculty	students	alumni[7]	no trustees
4-year public	9%	92%	92%	66%	22%
2-year public	12	82	88	35	24
private university	7	67	67	60	36
4-year private college	25	68	61	54	
4-year church-related	11	67	62	49	32
2-year private	13	88	38	63	0

One might draw a variety of conclusions from these figures, but one stands out loud and clear, namely that faculty are involved in the search and selection process in the great majority of cases and that students are today almost equally involved. There are still trustees who view faculty as employees with no proper voice in management or as impractical self-centered scholars more concerned with their own bailiwicks than with the good of the institution as a whole. The board chairman of one church-related college would "eliminate faculty and students" and recommend a different procedure for the next time "to the way we did it 20 years ago." Most boards, however, recognize the legitimate role of faculty in the selection process and also the advantages of including students. "Joint effort" is specifically recommended in the formal *Statement on Government of Colleges and Universities*, adopted in 1966 by the American Association of University Professors and recommended in the same year by the American Council on Education and the Association of Governing Boards to their respective members as a "significant step forward in the clarification of the respective roles of governing boards, faculties and administrations."[8]

A good committee will fulfill two criteria: a fair degree of diversity and a high degree of mutual respect. The first requirement is met by the inclusion of faculty, students and perhaps others in the selection process. In the present day, however, diversity requires more than this. Other things being equal, there should be one or more women and one or more members of minority groups. The second requirement is essential to the teamwork necessary to fulfill a difficult assignment.[9]

Given diversity, teamwork and mutual respect will depend upon the personal qualities and abilities of the individual members. What should one seek? So far as possible—commitment to the institution, an understanding of its programs and problems, breadth of experience, a capacity for balanced judgment and discretion, and the ability to recognize the validity and to respect the integrity of viewpoints differing from one's own.

This is a large order, and the question can properly be asked, how does one arrive at a committee composed of such people? If we exclude the one instance in our survey where all members of the committee were appointed by the outgoing president, four methods of selecting committee members have been followed.

1. In some instances the board or the executive committee of the board or its chairman make all appointments. Presumably some advice is given or suggestions made regarding the non-trustee members. This method has the advantage of making reasonably sure that difficult or disruptive members will not serve. It is likely to anger both faculty and students by denying them the privilege of making their own choices.

2. The most common practice is for each group to select its own members to serve on the committee. Sometimes faculty will seek to control the selection of students, but in general faculty choose faculty members and students the student members. The alumni association may be invited to designate one or more alumni to serve, or the board may ask one or more of the officers of the association (already elected by the alumni) to serve *ex officio*. This gives the various constituencies the greatest sense of participation; and if there is full agreement on the person chosen, the new president starts his or her career with a high degree of acceptance. On the other hand, there is no certainty that the committee will be truly representative of diverse interests within the institution or that the resulting mixture will be harmonious and effective.

3. One way of reducing the disadvantages of allowing each group to designate its own members is to have the board lay down certain general criteria for selecting committee members. It may specify, for example, that one faculty member should be chosen by each division of the university or that there should be an equal number of senior and junior members of the faculty; that one student should come from a graduate or professional school and the other from the undergraduate college, or that one student should be male and the other female.

4. A second way is to invite various constituencies to nominate several candidates for

ence on campus. Given an adequate budget and help, if the trustees did the screening, it would be easier, I think, to make clear the advisory role of other groups."

7. The percentage for alumni is unreliable since some respondents apparently counted alumni faculty and trustees as alumni, while other included alumni only when appointed as a result of their status as alumni.

8. "If controlling bodies," writes Warren Bennis, former President of the University of Cincinnati, "insist upon dictating university presidents, instead of selecting men by more democratic processes, the campus must expect resistance from all those excluded from the selection process. The president forced on a reluctant university accepts a job that is difficult in the best of times. If students or faculty perceive his appointment as coercive, his job becomes impossible. In these uncertain times, no president has time to spend winning over sulky constituents. I am convinced that no university president, hard-line, soft-line, whatever his style, can overcome the handicap of

committee membership with the understanding that the board or the chairman will appoint committee members from among those so nominated. This allows the board a certain latitude in setting up the committee while recognizing the legitimate concern of faculty, students and others to have a real voice in the matter.

In large complex universities it is probably desirable, if not in fact essential, that the nature of each committee member and the method of selection or appointment be spelled out in detail, as suggested in method (3) above. In smaller and less complex institutions method (2) usually works fairly well if there is a considerable degree of harmony and trust among the various groups. Where this does not exist, method (4) may reduce some of the friction of antagonistic positions.

Two final comments about committee composition are in order. First, in all but a very few of the institutions in our survey the chairman of the board served on the committee of selection—not infrequently as its chairman. This is all to the good. "It is very important," commented one respondent, "that the chairman of the board of trustees serve on the presidential search committee. The chairman of the board works closer with the president than any other member of the board of trustees. Consequently, the relationship between the chairman of the board and the president should be good."

Second, the importance of conforming to the requirements of equal opportunity has led an increasing number of selection committees to invite the affirmative action officer to sit with the committee as advisor. This can be helpful both at the start of the search and, as we shall see later, during its progress.

THE CHARGE TO THE COMMITTEE

The final phase of Step One is a clear statement of the committee's mandate. The board should make clear to the committee and to everyone interested in the selection of the new president who the committee should be and the extent of its authority. Many a committee has run into difficulty due to ambiguity on the latter. Some boards will prefer to leave details of procedure largely to the committee; others will want to provide quite specific instructions. Items which might be included in the charge are the following:

1. Development of criteria for selecting the new president, or statement of criteria to be followed if the board has already developed them.
2. Membership on the committee(s) including any instructions regarding the methods of selection and the choice of chairman.
3. Time table providing dates by which the board expects recommendations from the committee.
4. Breadth of search for candidates. Some boards have instructed their committee on where to look; others leave this to the committee itself.
5. Necessity of complying with equal opportunity/affirmative action requirements. Some boards have even specified methods of screening candidates.
6. Availability of funds for committee expenses.
7. Use or avoidance of outside professional consultants.
8. Degree of confidentiality or openness (e.g., sunshine laws) expected of committee.
9. Number of candidates to be recommended to the board for final decision and whether these candidates are to be ranked or unranked.
10. Unambiguous statement of the board's intention to make the final choice and appointment.

By no means do all of the above need to be included in a formal charge to the committee, but some clearly should be. To clear the air regarding the committee's responsibilities and authority the committee's mandate should be made public.

Several of the items mentioned above will be examined in detail in the following chapter.

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a peremptory appointment. A selection process that is not broadly representative hamstrings the man it settles on. Moreover, the process itself may become an explosive issue, as it did for Pitzer at Stanford." *The Leaning Ivory Tower*, Jossey-Bass Publishers 1973, p. 65.

9. See Edward Kern: "Quest for a Silver Unicorn" in *Life*, vol. 70, no. 21, June 4, 1971, for a vivid example of what can happen with disruptive committee members.

CHECKLIST #1—ESTABLISHING THE MACHINERY

1. Is there general agreement on the needs and objectives of the institution in the next ten years? (See Chapter 3)
2. Is the institution ready for a presidential search or should an acting president be appointed?
3. a. Is there consensus on the kind of person the institution needs?
   b. If not, who will develop suitable criteria?
4. Who will conduct the search and selection processes?
   a. board as a whole
   b. committee of the board
   c. single search and selection committee composed of trustees, faculty, students and others
   d. dual committee structure—search committee in which non-trustees predominate committee selection in which trustees predominate
   e. single search and selection committee aided by one or more *advisory* committees of faculty, students, etc.
5. How will committee members be appointed?
   a. by the board, its executive committee, or the chairman
   b. each group elects its own members
   c. each group elects under restrictions set by board
   d. board or chairman selects from nominations presented by each group
6. Does the machinery of selection reflect the diversity of the institutional community? Is its final recommendation likely to get widespread campus support?
7. Has the board made clear to the committee(s) *in writing*—and to the public—the extent of and the limits to the committee's authority?

In many public institutions, especially those which are part of state-wide systems, the answers to some of these questions are mandated by law or bureaucratic regulation. Even where the chief executive officer of the system or the state's board of regents has the final choice, however, local institutional boards tend to exercise much more authority when it is a question of selecting a new president—and they should make the most of it.

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STEP TWO—ORGANIZING THE COMMITTEE

CHAPTER 2

Once the presidential search committee has been formed and its charge from the board received, it must plan its campaign. Various practical arrangements are essential, and certain agreements on procedure need to be nailed down at the start.[1]

1. What is said of a single committee is equally applicable to situations involving multiple committees. In this chapter and elsewhere, unless specifically noted, we shall ignore those exceptional situations where no real search occurs and selection is made in one or two meetings. Such situations infrequently occur, sometimes because the choice is restricted by charter to the members of a religious group, sometimes because an administrative officer or trustee has been groomed for the job or is so clearly everyone's choice that a general search is considered superfluous. In this latter case the board may be violating the requirements of equal opportunity/affirmative action, and the comments of some presidents in our survey indicate a certain amount of discomfort over being

THE COMMITTEE CHAIRMAN

The chairman is the most important member of the committee. He or she sets the tone of the committee, directs the discussion, smooths ruffled feelings, copes with emergencies. On the outside the chairman is official spokesman, interpreter of the committee's work to the public, and in most situations the liaison between the institution and the candidates. He or she must command respect, must be impartial, discreet, incisive and humane. In addition the chairman usually serves as liaison between the committee and the board.

The chairman must be prepared to invest a substantial amount of time in the selection process. This was vividly expressed by the chairman of the committee of a small liberal arts college where the process lasted five months and included the services of outside consultants: "But I won't take the job of chairman again. I had to work at it 40 hours a week for about two and a half months and I had damn good administrative help."[2]

Normally the board or its chairman designates the chairman of the selection committee, sometimes naming himself or herself. In view of the close working relations between the chairman and the president referred to in the previous chapter, there is much to be said for such an arrangement—provided that the chairman has the qualities outlined above and is prepared to give the very considerable amount of time so essential to success. Sometimes the choice is left to the committee. Where there is a single search and selection committee, the chairman should be a trustee. Where there are two committees, it is not uncommon for a faculty member to chair the search committee and a trustee the selection committee, thus reflecting the relative influence of the two groups in their respective committees.

COMMITTEE STAFF

The selection of a president involves for most institutions, public and private, four-year and two-year, a considerable amount of grubby detail. Committee meetings must be scheduled and often rescheduled. Mailing lists must be prepared. Letters must go out inviting nominations and advertisements placed in appropriate newspapers and journals. Responses must be acknowledged, background data on candidates collected, an efficient filing system established. Interviews must be arranged, travel schedules set up, expenses approved and paid. These are not the proper function of committee members who donate their time.

The sensible committee will at the very start of its operations arrange for adequate and responsible staff assistance. In most situations this means a staff officer or administrative secretary who knows how to be discreet and who preferably can give full time to the assignment for the duration. Sometimes an administrative officer of the institution (not remotely in the line of succession!) can serve the committee on a part-time basis. In either case varying amounts of clerical help will be needed, especially at times of peak load in correspondence. All members of the committee's staff must be carefully selected, for they will be under pressure from the academic community and the press for information.

To protect confidentiality as well as for other reasons some committees have employed outside consulting firms to handle administrative details. Occasionally the chairman will run the show from his or her own office in order to safeguard confidentiality or to save the college money or simply for convenience. Some institutions establish off-campus offices as a security precaution. However it is done, the lesson is clear: the job of selecting a president is too important to skimp on staff.

TIME TABLE

Selection committees, like legislatures, tend to start slow and end in a rush. It is not just that the final deadline seems at first a comfortable distance away; committees frequently underrate the time required and the cumulative impact of inevitable delays. Therefore, it is important for the committee to set a realistic schedule for itself at the start of its operations. This should allow for the time necessary to organize itself, to send out letters inviting nominations, to place advertisements with a cutoff date for replies, to screen the *curricula vitae* of 50 to 500 candidates, to arrange preliminary interviews with perhaps 10 to 20, and campus visits for the final 3 to 5, to make final checks on the survivors and to reach agreement on the one or more candidates to be recommended to the board.

In its charge to the committee the board should set the date, usually one of its regularly scheduled meetings, at which it expects to take action on the committee's recommendations. This date should be early enough to permit the president-elect to take over from the outgoing incumbent without an interregnum (except in crisis situations) and to allow for some additional margin of time in case the committee or board cannot agree on a candidate or the candidate agreed on declines to accept. Given its deadline, the committee should work backwards in setting its time table.

How long will the search and selection process take? This varies greatly from one institution to the next, depending on the nature of the transition and the point in the academic calendar at which the search takes place. As the following table shows, universities, whether public or private, tend to take a longer time and

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chosen without any real competition.

2. Another chairman of a similar institution, which took seven months for its search and did not use outside help, wrote: "I think it necessary that one person have the time and interest to work on such a project. I personally attended all the committee meetings, all of the interviews, and made all of the telephone calls. In this effort, I traveled about 5,000 miles and spent 33 full days away from home in addition to the telephone calls which were made from my home. I list these statistics only to point out that this experience was one of the most gratifying I have ever had. It has been successful, and I would not change one minute of it."

two-year colleges, private as well as public, the least time. Another generalization to be drawn from the table is that public institutions on the whole take less time than private institutions. Twelve months was the longest time reported in our survey by a public institution, whereas it took some private four-year institutions 18 months, and one private junior college 24.

	range	median
4-year public	2-12 months	7.5
2-year public	1-6 months	4.5
private university	1-18 months	9
4-year private	4-18 months	7
4-year church-related	1 day-15 months	5.7
2-year private	3-24 months	5

Universities, being large and complex organizations, generally require more time. The not infrequent restrictions on choice in church-related colleges can shorten the process. In the extreme example above a committee of six trustees and three faculty met for one evening only, reviewed the credentials of the ten eligible individuals and agreed in short order to nominate one. The chairman of another church-related college committee, which spent four months reviewing 85 candidates, commented: "In my opinion a search committee can spend too much time on a search. Deadlines must be established and met." Most committees would be happy if their labors could be limited to four months. How long is enough will depend in part on local circumstances, in part on the efficiency of the committee. Bolman is probably correct in cautioning that after a year exhaustion tends to set in.[3]

While the search continues, the amount of time required is considerable. Weekly or fortnightly meetings for long periods of time are not uncommon. In one community college where the entire board of seven served as the search committee, the number of meetings averaged between two and three per week for a period of five months. While this is an extreme situation, committee members should understand when they accept a membership that they are undertaking a time-consuming as well as important task.

At the end of this chapter will be found two sample time tables, one used in the selection of a women's college president and the other proposed for a church-related college in the Midwest.

USE OF PROFESSIONAL HELP

Sooner of later the search committee must decide whether to employ outside professional help. This can range from using one or more consultants—usually ex-administrators or faculty whose specialty is in educational administration—to relying on a management consulting *firm. Some of the major commercial firms,* which made their reputations identifying top management candidates, now include similar services for non-profit organizations; and in recent years a new family of consulting firms primarily concerned with educational institutions has come into being.

In our survey, 20% of the respondents employed professional firms or individual consultants to assist in the selection process. Only 10% of the public colleges and universities did so as against 24% of the private institutions. Two-year colleges were more inclined to seek outside help than four-year institutions, 27% of community colleges and 43% of private junior colleges reporting such help.

Outside consultants and professional firms were used, according to our respondents, for a variety of purposes: (1) to advise and assist in setting up the committee's procedures, (2) to help define the institution's needs and draft a suitable job description, (3) to develop a pool of candidates, (4) to screen the candidate roster, (5) to conduct interviews, (6) to make site visits and in other ways to check up on finalists, and (7) even—incredible as it may seem—to participate in the final evaluation and recommendation.

Selecting the president of a college or university is not much different, it has been argued, from selecting the CEO of a business enterprise. Both are difficult and time-consuming. Both deserve the best professional advice. "Picking a President the Business Way" is the title of a popular recent article by Donald E. Fouts who urges a more business-like approach.[4] Why, then, did 80% of the institutions in our survey decline to use professional help? A number of reasons were suggested.

1. Some colleges and universities have competent professional help available within the institution. In most statewide systems, for example, the central office maintains one or more administrators whose job it is to assist member colleges or universities in choosing new presidents. Some central offices maintain a running roster of names of possible candidates. Nearly all statewide systems have fully articulated ground rules covering the procedures to be followed. Some private colleges will have on their boards one or more trustees who have been through the process before and who are prepared to play an active role a second time.

2. Expense is another factor. While the cost of individual educational consultants on a *per diem* basis can be quite modest, consulting firms tend to be expensive. In one state university their fee represented $12,500 of a total cost of $32,000. One can only assume that the fee constituted a large part of the $50,000 total cost of a two and a half month search at a community college in the far west. On the other hand, if the

3. Frederick deW. Bolman: "How Will You Find A College President?", *AGB Reports*, vol. 12, no. 7, April 1970.

4. *AGB Reports*, vol. 19, no. 1, January/February 1977.

right person for president is found, this may be a sound expenditure.

3. Faculty, and to a lesser extent, trustee distrust of the outside professional can be a strongly inhibiting factor. The outsider is an alien. He or she cannot expect to understand the institution, it is alleged, the way those who live and work there do. Sometimes they are even suspected of Machiavellian designs. "One of the essentials for securing the cooperation of students, alumni, faculty, staff and benefactors for a new president," wrote the chairman of the selection committee of a southern church-related college, "is that the selection process be free of any taint someone is exercising hidden influence on it. The only way to insure unadulterated objectivity is for the search committee to do most of its own work." This same argument can be used, however, to support the use of consultants because of the vested interests of campus groups.

4. Finally, there is the argument that those on campus and on the board understand the needs of the institution better than any outsider could. This was well expressed by the chairman of the board of a small private college. "As our 1972 search evolved, we found that our professional consultants could do little better locating prospective candidates than we could. Further to this, as the applications started to arrive, we recognized the importance of screening by the committee, who knew the institution best, rather than the consultant. It was for these reasons that we felt on this round, five years later, we could do a better job without outside assistance, and we did."

A case, however, can be made for using some kind of professional assistance. Committees should give the matter very serious consideration. In a crisis situation where an institution has run through two or more presidents in rapid succession or where feelings of distrust and antagonism affect the attitudes of faculty, students and trustees, the outside consultant can be of great value. Where committees feel inexperienced, and a little fearful about proceeding alone, the experienced consultant can provide direction and support. We have already noted that consulting firms, and to a lesser extent individual consultants, can provide the necessary staff backing for the committee.

The good professional can make a real contribution. Several of our respondents commented on his or her help in developing a pool of candidates, particularly outside the traditional areas, and in meeting equal opportunity/affirmative action requirements. Furthermore, a knowledgeable consultant is likely to know what kinds of candidates will fit into the institution and be interested in it. Undoubtedly the consultant can save the committee members time and energy in the screening stage. And when it comes to checking out candidates, either by talking with the candidates themselves with regard to their interest and availability or with their colleagues and references with regard to their qualifications, the outside consultant is not only likely to be more adept than the average committee member, but by virtue of being outside the family can press the inquiry more pointedly and yet with less danger of breaching confidentiality.

The trend in postsecondary education is toward the use of more professional services. Specialized firms and consulting agencies are springing up. Colleges and universities will have a wider choice in the future. The Association of American Colleges has long maintained a limited list of potential presidents, vice presidents, provosts and deans, and member colleges have on occasion turned to it for help. Recently the Association expanded this program on an experimental basis. This has proved so successful that AAC and AGB are jointly establishing a Presidential Search Consultation Service which on a fee basis will provide all or any one of the services which search and selection committees may find useful. In the natural course of its operations the names of good candidates will inevitably be collected, but no effort will be made to cover the waterfront or have a complete registry. Its real value will be in the consulting services which it can provide through staff and trained consultants.

5. The only exception involved compensation to faculty and students for time spent on committee work during the summer.

THE COST OF A SEARCH

It proved difficult to get accurate figures on the cost of selecting a new president from the responses to our survey. Some institutions included in their cost figures *pro rata* salaries of administrative officers and staff secretaries; others omitted these and listed only the more obvious out-of-pocket expenses occasioned by committee travel and bringing candidates to the campus. Two small church-related colleges claimed no official expense on grounds that the committee members paid their own expenses. One must surmise that either they did not bring any candidates to be interviewed on campus or required them to pay their own expenses, neither of which is a practice to be recommended. The time donated by committee members is of course a real, albeit unrecorded, cost to them.[5]

The following table gives the cost figures for different kinds of institutions. They should be read with the cautions of the preceding paragraph in mind.

Consider the costs involved in a search: one administrative agent, full- or part-time; one clerical secretary (and at certain peak periods two); advertising in public media; stationery; postage; filing cabinets; telephone; committee travel and meals; candidate travel, housing and meals; and the fees of outside consultants if used. This last item can be very substantial, as

noted in the preceding section. Trustees may donate their own travel expenses along with their services, but it is not reasonable to expect other committee members to do so, and it is certainly not desirable to ask candidates to pay their own way.

	Range of Cost	Median Cost
4-year public	$1,000-25,000	$8,500
2-year public	0-50,000	4,000
private university	2,000-55,000	18,600
4-year private college	0-50,000	7,500
4-year church-related	0-25,000	3,000
2-year private	0-5,000	3,000

Some committees are instructed to do whatever is necessary and not to worry about the cost; the college or university will pick up the tab. At the other extreme is the assumption by the board or by the committee that the job must be done at minimal cost by cutting corners and over-working staff. Most committees will find it more comfortable to work out in advance a budget of expenses and to know that there are sufficient funds to cover them. If funds are not available, for example, for 20 preliminary interviews or ten on-site investigations by members of the committee or five campus visits by final candidates and their spouses, the program must be tailored accordingly. Those numbers, however, come close to being the minimum for a well conducted search—and any other kind is not worth doing.

PAPERWORK AND RECORD KEEPING

The normal search and selection process generates a substantial mass of documents. In addition to hundreds of letters and memoranda announcing the vacancy and inviting nominations or applications there will be the documents providing information on 100 to 500 candidates. For each there needs to be a dossier which will contain biographical information, letters of reference, correspondence, reports on conversations, telephone calls and interviews.

Some committees make copies of all documents for each member of the committee, accepting the not inconsiderable cost of doing so and also the very real risk that the sensitive and confidential information may inadvertently find its way into the wrong hands. Other committees, for reasons of economy or security, maintain a central office and file to which only members and staff have access and where they can do their homework. This is manageable where much of the screening is done by campus members of the committee, but under most circumstances it imposes an additional burden on already overworked trustee members.

Difficult choices among individuals being considered for the same job will sometimes erupt in controversy, with angry accusations and unfounded rumors being spread to the detriment of all concerned. Furthermore, regulations regarding equal opportunity/affirmative action require committees, which are subject to such regulations, to demonstrate by the record, if challenged, the legitimacy of their actions. The best defense in both situations is to maintain full and complete records of committee activities and decisions. This record should include minutes of meetings, the record of decisions respecting the status of candidates, memoranda regarding the substance of telephone conversations, memoranda summarizing the results of individual interviews, reports from subcommittees of investigations, reactions from members of the academic community to whom candidates have been exposed, and the like. The record should show how wide a net had been cast, and how many candidates were women and members of minority groups. Since consideration of many candidates over a period of many weeks breeds confusion, personal impressions and information gained from conversations and interviews should be written down and shared with all members of the committee.

PUBLIC INFORMATION AND THE PROBLEM OF CONFIDENTIALITY

Candidates for a presidency—a majority of them at least—would prefer that their candidacy be kept confidential. The campus community and the public press, on the other hand, want to know what is going on. The selection of a new president provides a classic example of the conflict between the individual's right to privacy and the public's right to know. Much unhappiness and even bitterness have resulted from breaches of promised confidentiality on the one hand and refusal to give out any information on the other. Thus, it behooves every search committee to decide at the start of its operations how it will handle its public relations. Committees, of course, at public institutions in states with strong sunshine laws, such as Florida and Minnesota, must comply with statutory requirements. In those states everything must be done in full public view.

The results of our survey are interesting but hardly definitive. We asked the new or recently

elected presidents the question: "Was your candidacy kept confidential until the time of appointment?" The following table records their replies.

	yes	no	somewhat
4-year public	32	35	11
2-year public	39	15	11
4-year private	25	15	9
4-year church-related	42	42	13
2-year private	3	5	2

The ambiguity in these figures stems from different interpretations of confidentiality. Most of the presidents who responded "somewhat" and many of those who checked the "no" column called attention to the obvious fact that after a campus visit and meetings with faculty, students and administrative officers their identity was known, while inquiries on their home campus alerted their colleagues. Most of those checking "yes" were indicating the absence of newspaper publicity until the time of the public announcement of their election.

Some presidents prefer on principle to have everything out in the open.[6] Others for practical reasons think it preferable. "My candidacy was known to the campus community at the time of my initial visit," wrote a private university president. "Thus, I had opportunity to speak openly to faculty, staff and students prior to my appointment. I liked it that way."

The majority, however, were either strongly opposed to having their candidacy discussed in public or were resigned to what they considered the inevitable. Those vehement in the defense of confidentiality pointed out that publicity jeopardizes the candidate's position or authority and standing in his present institution (one said that he would have felt obliged to resign from his present position if he had not been selected), that public discussion of the merits of various candidates is almost always embarrassing to those not selected, and that the whole business of being on public display is distasteful.[7]

Most of the presidents in our survey would probably agree with the statement by the president of a distinguished independent West Coast college. "The selection and appointment of a president is a difficult and trying process for any board of trustees or search committee. The more salubrious the clime the better the process will prove to be, and I do not feel the details are the business of the public. The final result of the process *is* the public's business and the final decision should be publicly defendable." At the same time many would also agree that the involvement of faculty, staff and students in the process of selection makes complete confidentiality impossible. "Given the procedure used to select the president," wrote a state university president, "it would not have been possible to maintain confidentiality and at the same time to have open interviews by students and faculty on campus. I think the procedure is clearly more important than any benefits to be derived from confidentiality."

If complete confidentiality up to the time of final announcement is rarely possible, what can the committee do to minimize the disadvantages of premature publicity, excepting of course situations covered by sunshine laws? Many committees require express or tacit commitments from their members to honor the confidential character of their deliberations. Leaks do occur which might have been avoided. Public announcement of finalists well in advance of selections can be embarrassing. In one case a committee announced its recommendation before the board had had a chance to act. In another, public announcement was made before the president-elect had had an opportunity to inform his current employer. For the most part the embarrassing breaches in confidentiality are accidental and could have been avoided.

Two good rules to follow are: first, to appoint a single spokesman for the committee, in most cases its chairman; and second, to establish at the start if possible good working relations with the media. The composition of the committee, its mandate, the procedures it proposes to follow, its progress week by week are all matters of public interest and should be explained carefully to students, faculty, alumni and the general public. Contacts should be established with the student newspaper, representatives of the public press and, where interested, with broadcasters for radio and television. One private university committee chairman won the cooperation of the media by telling them frankly at the beginning of what proved to be a difficult and contentious search that premature public discussion of individual candidates would cause the university to lose some of its best prospects and that he would keep them fully informed of everything that went on or that they wanted to know except the names of the candidates themselves. Once the decision has been made, the announcement should be delayed only long enough to permit the president-elect to inform his or her current colleagues and employer.

In several states legislation mandates open meetings for all public bodies and committees. In most cases committees are permitted to go into executive session when sensitive matters are under discussion such as the consideration of candidates for a presidency; but in Florida and Minnesota everything must be done in full public view. There are those who think that people in academic life are too sensitive about their position and person. Being public figures, they must learn like politicians to conduct their lives in public. "I was a known or declared candidate from the start," wrote a community college president in Florida. "I had to get 'in line'

6. One state college president reported that lack of confidentiality "created no problem for me. I prefer the public meeting and action only at public meetings."

7. One state university president whose selection was held in the open reported: "I would not go through that process again." On the other hand, a state college president in a sunshine law state wrote: "Personally, I think that my interview went better because the final session was a public interview. By that time I had experienced so many small groups and one-person interviews in the process that it was refreshing to have a change—even if it was open to the public."

with 300 or so candidates and was in the finals with five others. I didn't have any idea about the outcome until the morning of the board meeting when a vote of 3 to 2 was cast in my favor. I prefer all things out in the open—in the long run facts get out anyway—usually distorted, so keep it in the sunshine."

The major disadvantages of such a procedure are two. First, it reduces the number of top candidates, for the best qualified individuals are often the least inclined to submit themselves to being dressed and undressed in public. The strongest candidates are most likely to have good jobs already. Indeed, as we shall see in Chapter 4, the best people are frequently reluctant candidates who need to be wooed rather than displayed on the auction block. Second, it lengthens the time necessary for screening and final selection. We shall discuss this in Chapter 5, but, in brief, the necessity of comparing the qualifications of candidates in public requires caution, artifice and circumlocution in time consuming amounts.

ADDITIONAL SOURCES OF INFORMATION

Donald E. Fouts: "Picking a President the Business Way," *AGB Reports*, vol. 19, no. 1, January-February 1977.

Frederick deW. Bolman: "How Will You Find a College President?" *AGB Reports*, vol. 12, no. 7, April 1970.

———*How College Presidents Are Chosen*, American Council on Education 1965.

Joseph F. Kauffman: *The Selection of College and University Presidents*, Association of American Colleges 1974.

Sam P. Kelly: "The Administrative Hiring Process," *Liberal Education*, vol. 43, no. 3, October 1977.

Richard Sommerfeld and Donna Nagely: "Search and Ye Shall Find," *Journal of Higher Education*, vol. 45, no. 4, April 1974.

CHECKLIST # 2—ORGANIZING THE COMMITTEE

Search committees at public institutions may want to organize themselves in somewhat different fashion from those at private colleges and universities. The similarities in organization and procedure, however, are greater than the differences, and therefore the following checklist will serve for public as well as private, four year as well as two year, institutions.

1. Select a chairman who has the time, concern and judicial qualities requisite for the task.
2. Arrange for adequate staff. Universities, both public and private, will need more staff than community colleges and small private institutions. The former should count on a full-time, or nearly full-time, administrative officer plus secretarial help. The latter can often manage with the part-time assistance of a college officer, but extra secretarial help will be needed at certain stages. Unless the search and selection are to be carried on in full public view, care should be taken to find supporting staff who will be thoroughly discreet.
3. Establish a timetable with target dates for each stage. Allow leeway for delays and slip-ups. The board should set the date on which it wants final recommendations.
4. Decide whether to use outside professional help—a decision which will depend in part on a judgment regarding the experience and competence of the committee. Decide whether professional help will be used for one or more phases in the total operation, such as developing a pool of candidates or screening background investigating the backgrounds of top candidates.
5. Set up a budget ample enough to meet costs. The best advice is not to scrimp. The outcome is too important.
6. Maintain a complete record of the entire search and selection process. Equal opportunity/affirmative action regulations require such a record in most instances. The possibility of charges of favoritism, and in extreme cases of lawsuits, make a written record highly desirable. Decide at the start what should be included—minutes of meetings, decisions, memoranda on interviews and telephone calls. Such a record is more important for public institutions than for private, since the former have to operate more in the public domain.
7. Plan a program of public information. Where selection must be carried out in full sunshine, the committee should try to develop an understanding with the press to minimize damaging or embarrassing stories about individual candidates. Where committees seek to maintain confidentiality until final appointment, or at least until the stage of campus visits by the finalists, they must work out an accommodation with the media by which they will report on committee operations and progress, but not on individuals. Agreement should be reached within committees regarding the spokesman for the committee—normally the chairman.

SAMPLE FOUR MONTH TIME TABLE

January 11	The executive committee authorizes the chairman of the board of trustees to name a presidential selection committee.
January 23	The selection committee is appointed and approved by the executive committee and includes five trustees, two faculty, an associate and a student.
January 24	The board of trustees confirms the action of the executive committee.
January 24	The selection committee meets for the first time to develop and approve two statements: one describing the institution, the other detailing the attributes sought in a candidate.
February	Nominations and applications are solicited through journals and other news publications, the various institution constituencies, other college and university administrators, and foundations and educational associations.
February and March	The selection committee meets to review and assess the files of active candidates. Initial interviews are conducted.
February, March and April	Campus interviews for serious candidates are scheduled with the selection committee and the various advisory groups.
April 25	The selection committee meets for final selection of a candidate.
May 15	The selection committee recommends a candidate or candidates to the executive committee.

This is a situation where the retirement date of the president is known well in advance and thorough plans are being made. The institution may find that 16 months, which include nine months for screening and three for interviews and selection, are too long a period—exhausting to the campus community and counterproductive for candidates who cannot wait so long.

SAMPLE SIXTEEN MONTH TIME TABLE

October 13	At the Fall Board Meeting the board adopts a procedural statement and the chairman appoints a search committee.
Late October	The search committee has an organization meeting with board chairman and reviews procedures and time table for the selection process.
November 1	The chairman initiates the appointment of an advisory committee for discussion of procedures.
Mid-November	The search committee and advisory committee meet for a discussion of procedures.
December 31	The advisory committee submits to the search committee a suggested "profile" of the institution regarding the nature of the needs for presidential leadership, and a suggested statement of qualifications and criteria for evaluating prospective candidates.
January 31	The search committee adopts a statement of criteria for selection and authorizes formal announcement of the impending vacancy and solicitation of nominations.
February, March, April	The advisory committee receives and screens names of nominees into categories: "decline," "hold," "more information," and "prime." It reports to the search committee monthly on the status of each candidate.
May, June, July, August	The advisory committee conducts field interviews with the most desirable candidates. It maintains continual reporting to the search committee.
September, October	The first finalists (not more than ten) come to the campus for three-day interviews.
November 1	The advisory committee recommends six finalists to the search committee.
November, January February	The search committee interviews the six finalists. At the board meeting the search committee nominates a candidate.

CHAPTER 3

STEP THREE—FORMULATING THE CRITERIA

"The objective of the presidential selection process is the matching of a person and an institution, so that one meets the other's needs at a particular moment in history. A president who might have been an institution's savior 20 years ago may bring about its ruin today. Or a man who would be ideal at the helm of one college or university might nearly cause a shipwreck at another."[1]

THE BOARD'S RESPONSIBILITY

Chapter 1 began with the propositions: (1) that the selection of the new president is the responsibility, indeed a major responsibility, of the board of trustees; (2) that the board must therefore, determine the criteria by which the new president will be chosen; and (3) that these criteria should be derived from an analysis of institutional objectives and needs over the next ten years.

Some boards, especially among community colleges, will themselves undertake the institutional analysis and/or formulate the qualities which the new president should possess. If wise, they will invite the participation of the campus community. Some boards, faced with a change in administration, will turn to the academic community for a quick fix on institutional goals and problems, from which a list of presidential characteristics can be derived. These are then modified or endorsed by the board and given to the selection committee as part of its official mandate. A few find themselves in the fortunate situation of having just completed some long range plans or the kind of institutional appraisal required for re-accreditation.

In a majority of cases, however, the formulation of criteria is part of the mandate to the search and selection committee or occasionally, where there is more than one committee, to the advisory committees. A few committees reporting in our survey referred their conclusions back to the board for official approval, and at one state university the committee published its tentative criteria for the new president, held day-long public hearings at which anyone could object or make suggestions, and then settled on the final version knowing that there was substantial agreement within the university community.

It should be pointed out here, however, as it was in Chapter 1, that the future couse of an institution is a matter which must be agreed upon by the whole board after careful study.

THE PRESIDENTIAL PROFILE

There are some qualities which any president should have—an understanding of what education is all about, a reasonable degree of administrative ability, the physical and emotional stamina to work long hours frequently under considerable stress, and above all those moral ingredients of leadership such as honesty, courage and personal integrity. Committees are inclined to draw up lists which specify age range, marital status, degrees, experience, religious affiliation and the like. These can sometimes become embarrassing when the best candidate fails to meet some one of the specifications—e.g., a doctor's degree. They can also become so absurd in their delineation of the ideal president that the reader either laughs or winces according to his or her temperament.

The real test of intelligent criteria is their relevance to the current and future condition of the college or university. What is its misssion for the next ten years? Where are its major problems? Does it need an educator, a fund raiser or a caretaker? Should the new president be like the old or quite different?

With this in mind we asked of board and committee chairmen in our survey: "In your opinion did the committee adequately review the mission and future needs of the institution before deciding on desirable presidential qualifications?" Almost without exception the search committee chairmen answered "yes." One state university chairman checked "no" with the comment: "Because of the time frame, the committee made a superficial analysis of the mission and needs of the institution" (although the board chairman of the same university answered "yes"!). At five private or church-related colleges and universities plus one community college the answers were "somewhat."

Several responses emphasized the importance of beginning with an appraisal of institutional objectives and needs. One committee spent two months on the analysis. Another held a retreat of several days. A third set up a two-day workshop, bringing in four different types of college president to help in a discussion of priority needs and variations in presidential profiles. One committee chairman who answered "yes" to the question added: "My reservations are that we spent so much time on this that the search process itself suffered. By the time we felt good internal communications, trust, etc., had been established, the pressures (both of time and impatience) for a speedy choice were high. At least for an institution which had not attended to 'self-examination' very well before the search, a year on that and a year on the search would have been ideal."

The figures given above would be more impressive if the comments accompanying many of the checked answers did not suggest a less careful procedure. "We *all* seemed to know what we needed; eventually, at least," wrote the chairman of a community college. The chairman of a church-related college answering "yes" indicated that the committee had reversed the sequence. "When we established

1. **Frederick deW. Bolman: *How College Presidents Are Chosen*, American Council on Education 1965, pp.1-2.**

the criteria for our new president, we, in effect, also established the mission and future needs of the institution." The candid confession of the committee chairman of an Eastern women's college is probably applicable to a good many committees: "The Committee *thought* at the time that it undertook an adequate review of these matters. In retrospect, and in the light of the examination of these questions that was undertaken during the two years since the new president took office, our examination at the time the search began was a bit superficial."

THE INSTITUTIONAL ANALYSIS

The practice of deriving presidential criteria from an appraisal of an institution's present condition and future prospects is approved in theory and largely ignored in practice. Both boards and the search committees they appoint have a tendency to rush into the search and selection of candidates without taking adequate stock of what or whom they really need. One of the important lessons which committees still need to learn is the desirability of examining the problems and prospects of their institutions *before* deciding what kind of individual endowed with what kind of talents will cope most successfully with those problems over the coming decade.

How should the trustees or the search and selection committee go about the business of taking institutional stock? There is rarely time for the elaborate type of self-study which boards might well authorize at less critical moments. One needs to know something about the present condition of the college or university, about the problems which are looming on the academic horizon if not already present, about the direction in which the institution must go to maintain its position or enhance its reputation, to improve its services or even merely to stay alive.

Here is a checklist of areas and issues common to public and private, four-year and two-year, institutions, though not necessarily applicable in full to any one of them.

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1. Changes in objectives. Is the college or university at a point in its history where it either wants or needs to change its direction, i.e., its goals and purposes? Community colleges do change with changes in the social-political-industrial character of their environment. State normal schools seek full-spectrum university status. Many church-founded colleges have evolved at some point into independent institutions.

2. Fiscal management. In an era of limited, if not actually declining, resources, is the institution, relatively speaking, in a strong, weak or middling position? Is the business office well equipped to cope or must the new president be prepared to shore up crumbling financial control?

3. Educational expansion. Is the institution under pressure to expand into new areas or do faculty and trustees believe that such expansion would be desirable? Community colleges are almost always under pressure by sectors in the community to add vocational courses. Liberal arts colleges get student pressure for more business courses and overseas programs. A southern state university has just made the major plunge into a medical school and an eastern institution is going into veterinary medicine.

4. Consolidation of educational programs. What some institutions need is not to expand, but to pull in their horns. Has the proliferation over years of courses, departments, schools, centers, institutes weakened the capacity to survive? The president who can lead the institution into new areas and programs has a different temperament and different attributes from the president who can manage retrenchment and consolidation.

5. Enrollment. What are the institution's enrollment prospects? Should an aggressive recruitment program be launched? Are there new sources of students? What changes in age, sex, background of the student body are likely? What changes are desirable?

6. Educational quality. Is it high, so that the only issue is to keep it that way? Is it good and therefore not a major focus of effort? Is it less than what it ought to be? If so, is the problem primarily one of the quality of the student body or the quality of the faculty or the kind of values which permeate the institution? If improving the quality of the educational program is the central problem, the new president should have certain intellectual and personal qualities which will fit him or her for the kind of leadership required.

7. Physical plant. How adequate are the library, laboratories, classrooms, dormitories, athletic facilities and social centers for the desired size and character of the institution? Must a major effort be made to add new buildings or to renovate buildings which have been allowed to deteriorate? Some individuals find creative pleasure in building buildings and in improving old ones. Others have interests focused on quite different ends.

8. Collective bargaining. Although faculty unions are more common in public than in private institutions, they are a relatively new phenomenon in academic administration, and no college or university can be confident of being exempt. What will be the new president's attitude toward collective bargaining? How effective will he or she be in dealing with the union if one exists on campus? If one is being considered, will the new president try to stave it off or welcome it? The board's and faculty's own

attitudes toward this issue are likely to incline them toward one candidate rather than another.

9. Student life and activities. These will vary enormously from non-residential community colleges to private or church-related colleges where virtually all the students reside in dormitories. But every educational institution provides some extracurricular programs which range from counseling to sports to social activities. How adequate is this phase of the institution's total operation? Where should it be improved? Is this a major concern, sufficiently important to influence the choice of the new president?

10. Governance. Does it work well? Do the various constituencies have a voice in it, and are they satisfied? Is there pressure for change? Should the new president have the kind of political savvy necessary for a successful reorganization of the governing structure?

Public institutions face problems which private colleges and universities do not, and *vice versa*. Community colleges with their close ties to local communities have different objectives and problems. In making a quick survey of where the institution stands and what its goals and needs will be over the next decade trustees and committee members will want to examine the following.

Public Four-year Colleges and Universities

1. External relations. What is the place and status of the institution with respect to (a) the central office of the statewide system and (b) the governor, the educational commissioner and the legislature? Do communications need to be improved? Do the external relations need major attention in order for the college or university to hold its own or improve its relative position?

2. Autonomy. Closely related to the above is the degree of autonomy which the institution enjoys. In what areas and to what extent can the trustees and administration make their own decisions regarding programs, plant, salary levels, and the like? How much political interference does the university suffer? Is the situation healthy or is a major battle looming over the autonomy of the institution?

3. Multi-campus problems. What will be the state's need and popular demand for more educational opportunities? Are additional campuses around the corner? Has over-expansion already occurred? Are the relations among the satellite campuses or institutions on a sound basis?

4. Consolidation of control. While consolidation of programs is a question for all types of institution, central control over the often semi-independent fiefdoms of the academic world is a special issue for large state universities with their extensive range of programs and services. Is the university a reasonably unified whole, as the term "university" implies that it should be, or is there a problem here with which the new president must deal?

5. Equal opportunity. Many state institutions are struggling with the problems generated by federal and state regulations respecting equal opportunity/affirmative action. This impinges on the college or university both at the hiring level—especially faculty—and the recruitment of students. Have the university's procedures been worked out or is the major crunch still ahead? Has the institution moved to open admissions? If not, will it be forced to in the near future, and what kind of problems will that produce?

6. Athletics. Does the university have a sensible and defensible athletic program? Is there public and alumni pressure for bigger and better football or basketball teams? Do these sports play a disproportionate role in the institution's life and budget? Is the director of athletics king in his own castle, controlling funds and programs over which the administration has no voice?

Private Colleges and Universities

1. Sense of mission. Important for all types of institution, but particularly critical for the private college. Is the campus harmonious? Do faculty and administration and trustees work well together? Or is there antagonism and political infighting. Have recent issues exacerbated the situation? Must the new president provide charismatic leadership? Does the institution need someone who can help the board become more effective and involved?

2. Student recruitment. Does the institution face difficulties in maintaining a satisfactory number of applicants? How will conditions over the next decade affect student recruitment? What steps will need to be taken? Is the problem one of better public relations or better organization of the admissions office and procedures? What does this say about the kind of person who should be president?

3. Quality of faculty. While the improvement of educational quality is a question for the trustees of all institutions, the size and quality of the faculty is frequently an urgent problem for the private college. What is and what should be the student-faculty ratio? Is the faculty too large or too small? Does it need upgrading? What steps might be taken?

4. New clienteles. Can and should the college or university compensate for the dwindling pool of 17- to 21-year-old students by recruiting older people? What changes in programs would this involve?

5. Public relations. How is the institution viewed in the surrounding community, by alumni, donors and friends? Does the institutional image need improvement? Do alienated alumni and friends need to be wooed back? Are there new publics which the college should seek to interest?

6. Church relations. For church-related colleges relations with the founding and/or sponsoring denominations constitute a special area of concern. Is the problem one of rekindling church or denominational interest and support; or is it one of reducing the influence and control of the denomination which supports the institution?

Community Colleges

1. Community needs. Since community colleges are local institutions serving primarily local needs, they have a special obligation to be responsive to changing community needs. What is happening to the community? What kind of programs will serve it best in the next ten years? Is the problem one of consolidation and growth or of radical re-direction?

2. Expansion. Community colleges have been the fastest growing segment of post-secondary education. Should there be and can there be limits to further growth? Should expansion be concentrated on one campus, or should multiple campuses be developed?

3. Physical plant. Since community colleges have been the most recent development in American higher education, many of them have not had time or money to develop adequate physical facilities for their rapidly increasing enrollments. Is physical growth, even a change in location, going to be a major problem in the next few years? Some people will relish the opportunity; others will look upon it as a necessary evil. The choice of the new president will determine how well and enthusiastically it is done.

4. Financial crunch. The difficult times which affect all colleges and universities bear particularly heavily on the community colleges. Periodic attempts at tax reform reflect citizen attitudes. The dependence of community colleges on local and state tax revenues makes them vulnerable. To what extent will the issue be one of holding the line or of effecting reductions in budget? How important is someone with a keen eye for figures and a sharp pencil?

5. Community support. The goodwill of the local community is essential to the community college. Does the college have a problem? Does the community image need refurbishing? Does it have the whole-hearted support of community sponsors? How much attention will the new president need to give to this area?

6. Politics. As with public four-year institutions, community colleges must expect a high degree of public interest and often a considerable amount of public interference. Where community colleges are members of a statewide system, they face the same problems of autonomy that state universities face. Is the working relation between the central state office and the local college satisfactory? Do state or county or quite local politics limit the college's freedom? How can political interference be kept to a minimum? If these are serious problems, it says something very important about the kind of man or woman who should be invited to cope with them.

Some assessment of the institution's present and future prospects and problems along lines suggested above should provide all-important clues to the kind of president needed. On the basis of such an analysis it is possible to draw up a list of needed and desirable qualifications. In the box on page 34 is a simplified chart suggesting a way of reaching consensus. Appended to this chapter are two examples of lists of presidential criteria submitted by respondents.

It is important, however, that the results of the analysis and the criteria built upon it be shared with all members of the academic community– trustees, faculty, students, administrative staff, alumni, patrons and friends. There ought to be—one is tempted to say, there *must* be—widespread agreement. The criteria should be published, and dissent should be given careful consideration. We have already seen earlier in this chapter how one state university committee held public hearings to provide feedback from the community. By getting the criteria out in the open, differences of opinion can be reconciled before they get set in concrete. The process of reaching agreement enhances the sense of unity within the institution.

And in the end agreement on criteria provides a platform of support for the new president when elected. He or she will need it. High priority candidates and even presidents-elect can be killed off before taking office by angry faculty or strong-minded trustees, not because they do not meet the specifications, but because there never was agreement on what the specifications should be.

This is trenchantly put by the chairman of the selection committee of an eastern college: "To get the support of all the constituencies, we asked faculty, administration, students, alumni and board members for their ideas on the future of the university and the qualifications of the new president. The response was excellent, and this was summarized on a page for each subject. The purpose here was to generate support from possible divergent interests and to provide a unifying pair of documents which would make sure that the choice finally arrived at would not be dead on arrival."

ADDITIONAL SOURCES OF INFORMATION

Frederick deW. Bolman: *How College Presidents Are Chosen,* American Council on Education 1965

Joseph F. Kauffman: *The Selection of College and University Presidents,* Association of American Colleges 1974

Warren G. Bennis: *The Leaning Ivory Tower,* Jossey-Bass 1973, Chapter 4

David L. McKenna: "Recycling College Presidents," *Liberal Education,* vol. 58, no. 4, December 1972

Manning M. Pattillo: "Choosing a College President," *AGB Reports,* vol. 15, no. 5, February 1973

Robert M. Hyde: "The Presidential Search: Chore or Opportunity?", *Educational Record,* vol. 50, no. 2, Spring 1969

Paul L. Dressel: *Handbook of Academic Evaluation,* Jossey-Bass 1976, Chapter 17. This and the following reference provide guidelines for elaborate and thorough institutional programs of self-study and evaluation. They suggest, however, some of the areas for an assessment of problems and needs.

Commission on Higher Education of Middle States Association of Colleges and Schools: *Handbook for Institutional Self-Study,* 1977

CHECKLIST #3—FORMULATING THE CRITERIA

1. Who will decide on the criteria by which the new president will be chosen?
2. What general qualities should every president have?
3. Where does an institution begin with an assessment of present and future institutional needs? What questions should be asked?
   a. for any and every college and university
   b. for public four-year institutions
   c. for private colleges and universities
   d. for community colleges
4. What steps will best insure agreement on institutional needs and presidential criteria?

EXAMPLE A —INSTITUTIONAL PROFILE

The following is the profile of institutional concerns and problems on which the search committee of a midwestern liberal arts college based its criteria for its new president:

I. Reputation and Identity

1. To remain academically strong, innovative, flexible and devoted to the liberal arts.
2. To develop and publicize a strong case for liberal arts education.
3. To retain the present level of excellence in the faculty.
4. To analyze and evaluate the institution's appeal to its present constituencies.

II. Enrollment and Finances

1. To carry out an intense development campaign with these main goals:
   a. To substantially increase endowment.
   b. To augment scholarship funds.
2. To maintain student enrollment at or near 2,000.
3. To examine and, where necessary, improve our teaching in order to engage the full capacities of the students actually enrolled; the goal is to provide quality liberal arts education to all students, including those whose academic talent or preparation is less than that of students we have been able to attract in the past.

III. Communication and Trust

1. External: To improve communication and trust between members of the university community and trustees, alumni, parents, neighbors and society in general, in order to elicit commitment to our institutional purposes and aspirations and meet some of the expectations of friends of the college.
2. Internal: To improve communication and trust among members of our academic community, specifically, students, faculty, administrators and supportive/operating staff, in order to understand, participate in and support the programs, decisions, and goals of one another.

IV. Diversity

1. *Of Faculty:* To increase the number of women and minority faculty members.
2. *Of Students:* To increase heterogeneity of student body by attracting students from diverse economic, ethnic, and social backgrounds.
3. *Of Trustees:* To attract trustees of different backgrounds in order to provide a mix that will encourage creative attention to the varied needs and characteristics of the college.

V. Discussion and Decision

1. To decide what our responsibilities are with regard to students' vocational concerns.
2. To better understand what motivates students and to respond creatively to such knowledge.
3. To decide where there is need for integration of knowledge and to create new interdisciplinary opportunities for students where this is appropriate.
4. To examine ways in which our isolation affects student life.

VI. Physical Plant

1. *No* need for new physical plant; need to maintain the campus at its present level of cleanliness, repair, and beauty.
2. Need to improve efficiency of use of physical plant; to explore extramural uses for campus facilities.
3. Need to conserve energy and reduce the university's impact on the environment.
4. Need to improve facilities in the arts, to provide more opportunities for students to make creative use of leisure time.

EXAMPLE B —PRESIDENTIAL PROFILE

The criteria used by the selection committee of an eastern woman's college gives evidence that they were based on an institutional assessment.

The selection committee is particularly interested in finding a person who has the desire to continue the current directions and momentum of the college and the leadership potential to chart new courses as opportunities develop. More specifically, the College seeks an individual with all or most of the following attributes. Someone who

- is dedicated to the growth and strengthening of contemporary women's education,
- believes that the solid core of liberal arts can be amplified through the development and expansion of career and professional programs,
- understands the benefits of college involvement in community and regional problems and the value of internships in providing students with a wide and rich range of off-campus work/study opportunities,
- is committed to modern management, endorsing a delegated division of labor, a management team approach, and a wide dissemination of information,
- places value on up-to-date planning, programming and budgetary processes as an important and effective tool for managing college finances,
- is capable of effectively developing financial support from outside sources,
- accepts the principle of student self-governance in student affairs,
- is able to work effectively with the diverse constituencies of the college,
- has proven administrative and academic experience, and
- has earned the highest academic degree.

PRESIDENTIAL QUALIFICATIONS

	Essential	Important	Helpful	Not Important
Academic Eminence				
Political Savvy				
Fund-Raising Ability				
Managerial Ability				
Fiscal Competence				
Leadership Skills				
Conciliator				
Labor Experience				
Public Relations				

STEP FOUR—DEVELOPING A POOL OF CANDIDATES

CHAPTER 4

Once the criteria for the presidency have been established, the next step is to develop a roster of candidates.[1] Due to the urgency of the situation or to the impatience of the committee, this step is sometimes begun before the criteria have been settled. When this happens, it complicates the job of screening candidates by the inclusion of individuals who do not fit the final specifications.

There are two schools of thought about the size of the pool. One advocates a limited search for a *good* man or woman; the other favors a broad search for the *best* individual.

THE LIMITED SEARCH

The extreme example of the limited search is where, for all practical purposes, there is no search at all. Very occasionally a board of trustees or its chairman or the outgoing president will have a hand-picked candidate ready and available. This will usually be an internal candidate who has been groomed for the job. Slightly less extreme is the situation where the president must be a member of a religious order or denomination—a requirement which can sharply limit the number of possible candidates.

The proponents of the short list and the prompt offer to the first person who looks really good point out the waste of time, money and human emotions in screening dossiers of people who are not viable candidates. Long lists almost always include incompetents with exalted notions of their abilities and outstanding public figures who by no stretch of the imagination would be interested in the presidency of Siwash or Midwest State. "I recognize the legal and practical necessity of the open search," writes a former college and university president and trustee of several institutions, "but I feel that the processing of hundreds of dossiers is counter-productive. It is confusing and it drains energies that should somehow be directed to the few qualified candidates. . . . Somehow a way must be found to permit the committee to identify and cultivate promising and realistic candidates and not to waste energy on deleting unpromising ones."

Furthermore, the longer the search and screening, the greater the danger of losing good candidates, who are likely to be sought after by other institutions or who become disaffected with the uncertainty caused by long delays. A member of the search committee of a church-related college reported: "Search was too long [10 months]. Lost several good candidates due to delay. My personal view, probably not widely shared on the campus, is that the best candidate should be invited to the campus, and if an acceptable candidate, an immediate offer should be tendered."[2]

THE BROAD SEARCH

How broad the search should be will depend, as we have noted, on the nature and circumstances of the institution. Major universities and colleges with national reputations will inevitably attract more candidates than lesser known regional and local institutions, but even among the latter there are usually compelling reasons for an extensive canvass. The advocates of the broad search offer the following arguments.

1. Trustees and committees want and seek, not just a good man or woman, but the best individual for their particular situation. The well known saying that the good is the enemy of the best applies here. The role and influence of the president on the well-being of the institution are too central, too critical, to justify settling for anything less than the best person available.

2. The task of screening out unsuitable or unsatisfactory candidates is undoubtedly time-consuming, but it is not all that difficult. It is more of a problem where the search and selection process must be conducted in the open and candidates cannot be so summarily disposed of as can be done when committee meetings are held in private.

3. As noted in the Introduction, current federal and state legislation requires, in all but a limited number of cases, honest efforts to make vacancies known to women, blacks and members of other minority groups and to include them in the pool of candidates.[3] It should not have taken legislation to make these special efforts part of every search process.

4. The broad search involves more people. Invitations to faculty, students, alumni and local citizens to nominate candidates or to suggest possible names give them a sense of participation in the outcome. Requests to educators, foundation officers, distinguished citizens, elected or appointed state and local officials will bring the institution to their attention, increase their knowledge of it and, if done astutely, enhance the reputation of the institution.

Alluring as the short list and quick decision may be, the arguments favor selection from a larger rather than a smaller pool of candidates. Although our survey turned up examples of all kinds, the great majority developed a substantial roster of candidates. The figures are as follows:

	range of pool	median number
4-year public	20-400	216
2-year public	5-217	58
private university	79-500	217
4-year private college	50-500	240
4-year church-related	1-500	95
2-year private	1-152	99

1. Throughout this study the term, *candidate*, is used to signify anyone who applies for the position, any individual who is nominated or proposed by a third party, or indeed anyone whose name comes before the committee for consideration.

2. Morton A. Rauh in *The Trusteeship of Colleges and Universities* (McGraw-Hill 1969) favors what he describes as "sequential selection." "In a task like this," he writes, "which involves searching and researching what in many cases may be hundreds of individuals, one can become obsessed with the idea that there is a single candidate clearly superior to any other and that somehow or other it can be determined just who the person is. It is not possible to predict with real certainty how good a man will be until he is observed functioning in the job. On this assumption, then, it makes sense to explore a limited list of prospects and consider choosing one of them if he shows good promise of meeting the requirements. The possibility that if you looked at enough people there might be a somewhat better candidate is ignored. If in the first batch there is

SOURCES OF NAMES

There are various ways of developing a pool of candidates. Most committes employ more than one; a few use them all.

1. The time-honored method is to announce the vacancy (by press release, notice in the campus news bulletin, story in the alumni magazine) and to write letters to a variety of individuals inviting them to nominate suitable candidates. Broadcast invitations can go to faculty, students and alumni. Individual letters should be sent to selected educators, foundation officers, church leaders, government officials, heads of educational organizations, selected friends of the institution. The extent of the mailing will depend on the national or regional character of the institution, the availability of funds and the degree of concern on the part of committee members to canvass the field.[4]

Private colleges and universities tend to put more emphasis and value than do public institutions on nominations from people who know the college or university. While a few in our survey spoke favorably of the applicants who responded to the public advertisements, several found the latter method useless and many reported that nominations by knowledgeable individuals was by far their best source of candidates. Appended to this chapter are two samples of typical letters inviting nominations. (The accompanying information made clear that each institution is an affirmative action/equal opportunity employer.)

2. A second and concurrent approach is to advertise. There was a time when presidents, like ministers, were expected to receive "a call" to a new post. To apply for the position was considered quite improper. It is still true that many individuals—often the best—will not apply, either because they consider it presumptuous or because they are happily placed where they are. But the temper of the times is changing. The number of presidential vacancies to be filled now runs over 300 per year. Furthermore, the legal requirements of equal opportunity/affirmative action encourage, though they do not require, public solicitation of candidates. The easiest way is to run some ads.

According to our survey the most widely used vehicles for public notices are *The Chronicle of Higher Education*, *The New York Times* (especially the Sunday edition) and the *Wall Street Journal*. In addition many committees made selective use of notices in local or regional newspapers, educational journals, church or denominational bulletins and publications with specialized audiences. In most cases such advertisements generated a quite considerable number of applicants.

The community colleges in our survey relied heavily on public notices. Public four-year institutions found them a mixed bag. For some the results were "very satisfactory;" for others the applicants were largely unqualified. The private institutions, with the occasional exceptions noted above, found the results of public notices to be "of minimal value." "Made a lot of work. Satisfied the 'pure' that we were searching. Produced not one finalist," was one committee chairman's comment. Even so, the effect of advertising may be more useful than is immediately obvious. Public notices may well bring the opening to the attention of individuals who will not respond directly with an application, but who will find an appropriate way by which their names can be proposed to the committee.

3. The third avenue is a refinement or specialized form of public advertising. There are publications and organizations which were created to serve women, blacks and other minority groups. Their number has been increasing in recent years as a result of federal and state legislation. Below is a list of names and addresses of agencies from which help can be sought to make certain that equal opportunity is being provided.

4. Finally, there are the consulting firms whose business it is to assist (for a fee) organizations to find personnel. Their role and value were discussed in Chapter 2, so little more needs to be said at this point. Some colleges and universities have found them useful in providing names of top-flight candidates. The kind of "candidate service" proposed by the Association of American Colleges and the Association of Governing Boards may well result in more extensive use of this source of candidates.

EQUAL OPPORTUNITY RECRUITMENT SOURCES

The following organizations have been identified as sources of names for female and minority candidates for college and university presidencies. Search committees are encouraged to contact these organizations as well as presidents of women's colleges and colleges with high minority enrollment, and community leaders for names of qualified candidates.

1. **Women's Caucus**
   American Association for Higher Education
   Suite 780, One Dupont Circle
   Washington, D.C. 20036
2. **Center for Women's Opportunities**
   American Association of Women in Community and Junior Colleges
   Suite 410, One Dupont Circle
   Washington, D.C. 20036
3. **American Association of University Women**
   2401 Virginia Avenue, N.W.
   Washington, D.C. 20037

no candidate considered suitable, a new roster is scanned." (pp. 16-17) See also Warren G. Bennis, *The Leaning Ivory Tower*, pp. 79-80, and Donald E. Fouts, "Picking a President the Business Way" (*AGB Reports*, vol. 19, no. 1, January/February 1977).

3. The legal requirements are set forth in Executive Order 11246, as Amended, Title VII of the Civil Rights Act of 1964, Title IX of the Education Amendments Act of 1972, and elsewhere. Both Joseph F. Kauffman in *The Selection of College and University Presidents* (Association of American Colleges 1974) and Richard A. Kaplowitz in *Selecting Academic Administrators: The Search Committee* (American Council on Education 1973) provide brief summaries of the regulations. A thorough analysis together with the relevant texts is to be found in the *Guide to Federal Regulations* (June 30, 1978) by David J. Hanson and Cyrena N. Pondrum, published by the National Association of College and University Business Officers. Committee members will find most useful the summary of the legal requirements pre-

4. **Committee on Women**
American Personnel and Guidance Association
1607 New Hampshire Avenue, N.W.
Washington, D.C. 20009

5. **National Association for Women Deans, Administrators, and Counselors**
Suite 624A, 1625 Eye Street, N.W.
Washington, D.C. 20006

6. **Office of Women in Higher Education**
American Council on Education
Suite 800, One Dupont Circle
Washington, D.C. 20036

7. **Higher Education Resource Services (HERS)**
HERS/New England
Wellesley College
Cheever House
Wellesley, Massachusetts 02181

HERS/Mid-Atlantic
University of Pennsylvania
4025 Chestnut Street, T7
4th Floor
Philadelphia, Pennsylvania 19197

HERS maintains a registry of women qualified for administrative and faculty appointments at all levels within colleges and universities.

8. **National Association for Equal Opportunity in Higher Education**
Suite 450, 2001 S Street, N.W.
Washington, D.C. 20009

9. **Office for Advancement of Public Negro Colleges**
Suite 577, 805 Peachtree Street, N.E.
Atlanta, Georgia 30308

10. **United Negro College Fund, Inc.**
500 East 62nd Street
New York, New York 10021

THE RELUCTANT CANDIDATE

A recurrent criticism of the selection process is that the search for candidates is inadequate. Bolman found in his study of 116 institutions ten years ago that few of them were satisfied with the way in which the roster of potential candidates had been developed.[5] In our survey the need for more and better candidates was voiced by several chairmen representing both public and private institutions.

It cannot be emphasized too strongly that many of the best candidates are unlikely to apply and need to be courted. They normally are already well set in good positions, and while they might be enticed to go elsewhere, they are in no hurry to do so. Furthermore, they usually have enough self-confidence to know that jobs will be seeking them rather than their seeking jobs.

Committees sometimes assume that anyone —well, almost anyone—would be flattered to be asked to head their college or university and therefore fail to recognize the need to sell the position. This is often a delicate and sometimes a drawn out process. We have already pointed out in Chapter 2 the serious handicap which rigorous sunshine laws present to some committees. Sometimes committees create their own obstacles, such as asking individuals who have been nominated whether they are interested in applying for the job. A much better approach would be to ask if the committee could interest them in the position; or, if they look like first-rate candidates, whether the committee might talk with them about possible candidates. Out of this conversation might develop their own interest in being considered.

This point is well stated by Donald E. Fouts in his article "Picking A President The Business Way." "The business search begins," he writes, "with the basic assumption that the ideal candidate is functioning successfully in his/her present position, not actively seeking new employment, and will probably not respond to advertisements or form-letter invitations to apply. Second, it is assumed that the search consultant has a responsibility to aggressively seek out such prospects and 'sell' them on the advantages of candidacy. Third, it is assumed that there is usually a direct relationship between the quality of the candidate and the amount of effort required to interest him/her in the position."[6]

A NATIONAL ROSTER?

"There ought to be a better way of developing an adequate roster" is a widespread feeling among trustees and search committee members. With more than 300 such committees searching for candidates each year, it seems a terrible waste of time and money for each one to start from scratch, particularly when very similar institutions are involved. Suggestions for improving the process range from (1) more sharing of lists of names by colleges and universities, (2) establishing a national roster of presidential candidates and (3) greater use of professional consultants and services.

1. Some sharing of lists among colleges and universities of similar types now takes place—for the most part *sub rosa* between trustees or faculty who are well enough acquainted to do so on a confidential basis. To be useful such sharing must be between institutions of the same character and standard. The difficulty is that it violates the commitment to confidentiality which most committees make to candidates. There is no problem for trustees of public institutions operating under sunshine laws or for the trustees of Lutheran colleges where the regulations of the synod require that all candidates be publicly known. For others it is a breach of faith.

2. A recurrent proposal is to create and maintain a pool of presidential aspirants and poten-

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pared by John F. Zeller, Vice President and General Counsel of Bucknell University in connection with its most recent selection. The relevant sections are appended to this chapter.

4. For example, the search committee chairman of one church-related college reported: "In addition to the advertisements in *The New York Times* and the *Chronicle of Higher Education*, letters were written to all the state and federal representatives of the area, the heads of all the important foundations, the heads of all the important eastern universities as well as to all Lutheran colleges, the heads of all Lutheran synods in the United States, and to alumni, faculty and board members, asking for nominations." The search committee of a state university sent out over 1,200 letters to the members of educational associations. Another state institution, however, reported that it declined to accept any nominations, apparently preferring to deal only with applicants in response to its advertisements.

tial candidates. It is, at least on the surface, a plausible proposal; its problems appear on closer examination. Many potential candidates, as we have seen, cannot afford to have their availability publicly known, since such knowledge would jeopardize their present positions. Others in less vulnerable positions may nevertheless dislike the appearance of actively looking around for another job. It would be difficult to keep confidential the names on a national roster.

Many people in academic administration are interested in only a small range of alternative jobs or locations. They might be persuaded to move to institution X but not elsewhere. This kind of decision, sometimes not clearly articulated by the individual himself or herself, can hardly be filed in a national registry. Furthermore, the situation changes very rapidly. People change in their interests and ambitions. Their satisfaction in their current positions can quickly dissipate. Anything approaching a comprehensive registry of presidential candidates on a national scale would be very difficult to establish and maintain.

3. Perhaps the best hope for improvement lies in the greater use of competent professional services. The commercial "head hunters" have gradually moved into the education field, and some institutions have found them very helpful. Educational consultants with extensive knowledge of higher education and broad acquaintance in the area are being more widely used. In Chapter 2 we discussed the development of consulting services under the aegis of AAC and AGB. Such an office would inevitably collect a considerable roster of names, either known to be available or judged to be ready for bigger jobs. Selective rosters could be very useful to committees in the process of developing their own lists, but only in supplementing the committee's efforts, never in supplanting their responsibility to arrive at independent decisions.

There are no real short-cuts to an adequate roster of candidates, although there are more and less efficient ways of creating such a roster. It is the foundation on which selection and final appointment are based. It is important, therefore, that it be adequate for a wise and happy choice.

CORRESPONDENCE

It should not really be necessary to remind committees that all applications, nominations and inquiries should be promptly acknowledged. Indeed, throughout the entire search and selection process meticulous attention should be paid to communication with candidates, nominators, references and the local constituency—not only as a matter of courtesy, but also for the good reputation of the institution.

ADDITIONAL SOURCES OF INFORMATION

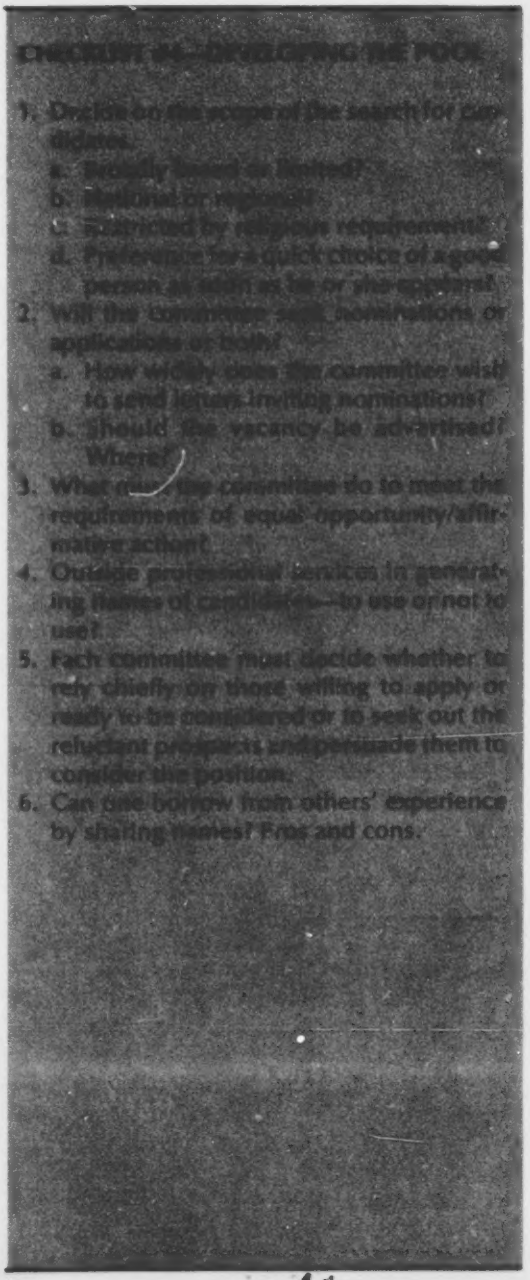
Frederick deW. Bolman: *How College Presidents Are Chosen,* American Council on Education 1965

Joseph F. Kauffman: *The Selection of College and University Presidents,* Association of American Colleges 1974

Richard A. Kaplowitz: *Selecting Academic Administrators: The Search Committee,* American Council on Education 1973

Donald E. Fouts: "Picking a President the Business Way," *AGB Reports,* vol. 19, no. 1, January/February 1977

David J. Hanson and Cyrena N. Pondrum: *Guide to Federal Regulations,* National Association of College and University Business Officers (date?)



5. **Frederick deW. Bolman: *How College Presidents Are Chosen,* American Council on Education, pp. 34-35.**

6. **Op. cit., p. 8.**

FROM: Vice President and General Counsel
TO: Chairman, Search Committee
CC: Affirmative Action Coordinator
Search Committee Coordinator
Secretary of Search Committee
President
Provost, Affirmative Action Officer

RE: LEGAL REQUIREMENTS GUIDE FOR PRESIDENTIAL SEARCH COMMITTEE

I note below the legal requirements with respect to equal employment and affirmative action which should guide the search committee in its work. . . .

1. The job description may not in any way limit applications on the basis of race, religion, national origin or sex.

2. Any advertisement of the vacancy must note that Bucknell is an equal opportunity and affirmative action employer.

3. A good faith effort must be made to seek applicants of both sexes and to provide an opportunity for application from minority groups. This requirement is usually satisfied by advertising in publications of general circulation such as the educational section of *The New York Times*, *The Chronicle of Higher Education*, etc. It would be appropriate, however, to advertise as well in publications which might bring the vacancy to the attention of women applicants, or to notify women's organizations or minority organizations of the existence of the vacancy. I suggest that copies of our *New York Times* advertisement and of the job description should be sent to each such agency. A record should be maintained of all publication of the notice and of a list to whom such information has been sent.

4. No inquiry should be made about marital status.

5. A record should be maintained on the race, sex, and ethnic identity of applicants. It will be necessary to include such information in a report on the search. This implies that a full record should be maintained of the number of applicants by category. The committee should likewise be prepared to report on the disposition of applications and to justify the selection of a white male on the basis of his qualifications over any female or minority applicants and their qualifications if such should so be the final decision.

6. In the above comments, no reference is made to age. Nonetheless, within the limit set by university retirement policies, there may be no discrimination based on age in the stated job description or criteria for employment.

7. A written job description should be prepared which includes anticipated responsibilities and qualifications. Special attention should be given to insure that qualifications based on education, experience or other skills do not in themselves constitute discrimination.

8. Before candidates are interviewed, the Institution's committee on equal employment opportunity must approve the job description, and before an offer of employment is made to a person who does not fill one of the goals of the plan, the committee must review the offer to certify that the requirements of the university's affirmative action plan have been met. The committee should furnish the Coordinator with a copy of its recruiting plan—i.e., a list of the media in which advertisements have been placed, offices to which notices have been sent, etc. before a list of candidates for interviews is compiled. The coordinator of the affirmative action plan maintains standard forms for reports on recruiting and is required to report annually on all recruiting activities. The committee should furnish the coordinator with the results of its work.

Good luck!

BEST COPY AVAILABLE

Mr. John Smith
President
Hampshire College
Amherst, Massachusetts 01002

Dear Mr. Smith:

President Longsworth's departure from Hampshire College on June 30, 1977 to become the President of the Colonial Williamsburg Foundation presents everyone at Hampshire College with a large challenge and an exciting opportunity. The challenge is to select a person who can meet the measure of innovation and creativity set by Chuck and his predecessor Franklin Patterson. The opportunity, is to find a person who can build on their work and lead Hampshire to realize its great promise.

We know that our job will be difficult.

We solicit your assistance.

Specifically, we would greatly appreciate it if you would send us the names of people you consider qualified to be Hampshire's president. Please direct your correspondence to me at:

Box A
Hampshire College
Amherst, Massachusetts 01002

Enclosed, for your information, is a statement describing the nature of the position and the kind of person who might fill it well.

I am clear that we ask no little favor; we shall be grateful for your consideration of our important need.

Sincerely,

John P. Kendall
Chairman of the Board of Trustees

JPK/pjm
Encl.

BEST COPY AVAILABLE

Dear President _____:

The Board of Regents of Eastern Kentucky University is seeking a successor to President Robert R. Martin who will retire effective October 1, 1976. Dr. Martin has served as the sixth president of the University since 1960.

We are requesting you, as one of a selected list of chief administrators in higher education, to assist us in filling this position. We will be deeply grateful for your nomination of one or more candidates, either from your own campus or from some other location. You may assure the nominee that names and vitae will be handled in professional confidence. It would be helpful to have any supporting statement you wish to make, but if you prefer to furnish only name and address, we will extend an invitation for submission of application and resume. We expect to have all applications in hand no later than July 1, 1976, and nominations or applications may be mailed to:

Presidential Search Committee
Post Office Box 2000
Richmond, Kentucky 40475

The enclosed materials provide information regarding the position, the University, and the geographic area in which Eastern Kentucky University is located.

Your assistance and nomination of qualified persons will be genuinely appreciated by the Presidential Search Committee.

Sincerely,

Robert B. Begley
Co-Chairman

RBB/jwh

Enclosure

BEST COPY AVAILABLE

STEP FIVE—SCREENING CANDIDATES

CHAPTER 5

As soon as names begin to materialize in response to advertisements and invitations, the hard work of the committee or committees begins. Just how much work will depend on the size of the pool and the mandate to the committee.

At this stage the purpose is to select a limited and manageable number of likely candidates from the long roster of proposed names. And since this screening process will take from one to six months (two to four months being fairly normal), it is well to get started without delay, sorting out candidates as their names come in.

Certain preliminary decisions, however, must be made. (1) What size should the eventual "select list" be? (2) Precisely who shall do the screening? (3) How extensive should be the committee's investigation of candidates? (4) How does the committee get adequate biographical information?

(1) THE SELECT LIST

Normally the winnowing exercise has two stages—preliminary screening which attempts to reduce the roster of candidates to somewhere between ten and forty, and intensive screening which results in a list of one to ten names to be recommended to the board for final choice and appointment. Intensive screening always involves, or ought to involve, interviews with the individuals under consideration. This will be the subject of the following chapter.

Some committees will be instructed to undertake preliminary screening only, with the second phase assigned to another committee or assumed by the board itself. Other committees will have a mandate to continue screening until only a handful of presumably first-rate individuals remains. The size of the select list will depend upon which course is followed; or conversely the course to be followed will be dictated by the charge to the committee respecting the size of its list.

(2) WHO DOES THE SCREENING?

There are various ways of dividing up the work of screening. The first is not to divide it up at all, but to insist that every member of the committee should read every dossier. Some committees feel quite strongly that this is the only proper way, but it means a large investment of man and woman hours. As the chairman of one community college search committee reported: "Screening of about 130 candidates for a 14 member search committee takes far too much time. There should be a better way, but I cannot see how to do it and still involve all the necessary 'publics' to their satisfaction."

A second method is to divide the central committee into teams, each of which will read and rate its share of the dossiers. The subcommittees then report their tentative conclusions which are adopted by the committee as a whole unless some member questions a decision to eliminate a candidate—in which case the candidate is kept on the active list. This seems to work quite well, especially where there is mutual trust among the committee members. Occasionally there will be a feeling of uneasiness that different teams may use different standards of judgment, but a uniform rating system approved by the committee in advance should provide a fair measure of consistency.

A third route is the special screening committee. Some boards of trustees, as we have noted in Chapter 1, establish advisory committees of faculty, students and staff. Several institutions in our survey, both public and private, assigned the preliminary screening function to these committees. A variation on this theme is to create a special screening committee or subcommittee composed of the faculty, staff and student members of the search and selection committee. In this way students, staff and faculty—especially faculty—are given the first crack at sorting out the candidates; and since the trustees have the final say, it is a vote of confidence to give faculty the first. Furthermore, it is assumed that faculty, staff and students will have more time than trustees for the onerous work of sifting *curricula vitae* and readier access to the documents which are normally housed somewhere on campus.

This arrangement works, however, as with the previous method, only where there is great unity among the college or university constituencies. Our survey produced many testimonies to this effect, but it also revealed the opposite. The example cited in Chapter 1 where a search and screening committee tried to take over responsibility for the final selection is a case in point.

A fourth procedure is to assign the preliminary screening task to one individual—perhaps the chairman (or in one case co-chairmen) or the administrative staff person. This requires a high degree of confidence in one individual's judgment, even though that individual must present and defend his or her ratings before the whole committee.[1]

Finally, some committees made use of outside consultants to do the necessary screening. This saves the committee time and trouble. The screening is being done by a professional, and that gives it a high probability of being well done. On the other hand, the professional consultant can be particularly helpful at the stage of intensive screening, whereas the committee can handle the preliminary screening and develop an important sense of teamwork in the process.

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1. The committee report for one eastern state university contains the following passage: "By mid-November a substantial number of candidates' qualifications had been received. The committee directed the secretary to screen initially all folders to (a) identify those applicants who were obviously ill-suited for the position, (b) identify those candidates who had extraordinarily fine credentials, and (c) identify those candidates who appeared to have at least the minimum qualifications and who would require further study."

2. This is brought home by the following passage from the committee report of an eastern private university: "Involved in the presentation to members of *equal* data on all candidates is a full-time research effort in public sources for biographical materials. A part of this may involve telephone contacts to seek additional information. For this committee, such research was intensive for a six-week period, and adequate staff should be provided to complete the work. If the committee chooses, as did the present group, not to inform nominees of their in-

(3) HOW EXTENSIVE AN INVESTIGATION?

One of the tricky points for screening operations is the kind of evidence on which preliminary decisions are made. How aggressive should committees be in seeking out data on candidates? The charge to the committee should make clear the limits to the committee's activities.

In every case the committee should study the documents sent in by applicants or by people nominating candidates. These constitute the basic dossier for each candidate. For some the information will be on the skimpy side. Should the committee seek more biographical information? Should it check with references? Should it engage in telephone conversations with candidates? Should it hold preliminary interviews with any?

Some boards of trustees are quite clear on what the committee should not do. For example, some boards prohibit the screening committee from writing to or telephoning references or communicating directly with candidates, stipulating that such inquiries should be left to the selection committee. Most boards, however, are quite prepared to have the committee seek the necessary biographical data and collect judgments about the candidates. Indeed, it is difficult to see how committees can do an adequate job of screening unless they seek fairly complete information on each candidate. Furthermore, the more comprehensive the job at this stage, the easier it is to cut the list further down at the stage of intensive screening.

(4) THE SEARCH FOR DATA

All public notices calling attention to the vacancy should request respondents to send their *curricula vitae* along with their application. If they fail to send sufficient information, the committee's staff member or secretary should request whatever is needed.

In the case of nominees the situation is a little more delicate. Some will not be worth much of the committee's time; some will never be interested; some will; and some may become interested if approached in the right way. To write and ask whether interested and, if so, to send biographical material is to risk losing at the very start those who ultimately may become most attractive. If the nominator has not sent in sufficient information, the committee can ask for more, can check the standard reference sources and can make inquiries of third parties who are presumed to know the individual.[2] In some cases, of course, the nominees know that they have been nominated. In such instances there is no reason not to communicate directly with them. Appended to this chapter are five sample letters used by a liberal arts college to seek more information and to thank those who took the trouble to respond.

How should the biographical data be presented to the committee? Some committees—more in the public sector than in the private—insist that all candidates fill out a standard form. This has the merit of providing comparable data on all candidates and thereby of making comparisons among candidates much easier. Other committees prefer to leave the presentation of personal information to the individual, believing that they learn something about that individual by the way in which he or she writes it up.[3] The most effective and efficient procedure is a compromise between the two whereby candidates are encouraged to present their data in their own way and the secretary or staff member to the committee summarizes the salient points on a standard form which can serve as a cover to the *curriculum vitae*.

REFERENCES—HOW MUCH VALUE?

Letters of reference are a standard procedure in almost all personnel situations.

Letters attached to the application are of very little value. Written for the eyes of the applicant as well as those of the prospective employer, they are unlikely to present an objective appraisal of strengths and weaknesses. References with whom the committee gets in touch can occasionally be quite informative, but they, too, suffer from being written by friends of the candidate. It was the judgment of many of our respondents that they have minimal value. "I am now more keenly aware than ever," wrote the board chairman of one small college, "that letters of recommendation are nothing more than perfunctory. The pre-selection of persons for recommendations on the part of candidates makes them totally of no impact."

Nevertheless, any committee would be faulted which failed to check out the judgment of others who know the candidate. What can be done to make such references of greater value? One way is to seek references not supplied by the individual under consideration. This can be done by asking references so supplied for the names of others who can inform the committee about the candidate, or by making use of contacts which committee members have with other institutions or in other localities to ferret out people who know and will comment on the candidate.[4]

This last gambit can be done more easily and quickly by telephone than by letter, and that brings us to a second way of enhancing the value of references, namely use of the telephone. It is convenient to have comments in writing which become part of the candidate's dossier and which can easily be copied for the benefit of committee members; but this is of little value if the letters say nothing of signifi-

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volvement by prior contact for information, this research phase is of special importance."

3. For those who are interested in the arguments pro and con see the article "Selecting Academic Administrators" by Thomas M. Stauffer in *Educational Record*, vol. 57, no. 3, September 1976; and the commentary on the article by Frederick S. Weaver and Louise T. Farnham in vol. 58, no. 3 of the same journal.

4. A perceptive observer commented on giving references as follows: "I'm always concerned about the quality of the recommendations, even their truthfulness. The difficulty is getting the 'whole truth.' It's one thing for me to say that so-and-so is a fine person. If I am obliged to rate them on a scale as compared to others I have known, I may be forced to be more specific and that is an advantage to the interviewer."

cance. Conversations on the telephone can be much more revealing. People will say more than they will write. They respond to specific questions. Their inflections of voice and hesitations in expressing their views can be more revealing than their actual words.

Checking out candidates by telephone can become a problem to the committee if the strategy is not carefully planned in advance. Individual committee members should not take off on their own, calling up friends on other campuses. The division of labor in screening candidates needs to be established and approved in advance, so that the committee's time is spent discussing what is learned rather than wasted in bickering over the authority of a committee member to make the inquiry. One way to avoid trouble is to authorize one member, perhaps the chairman, to make the calls. Since, however, people respond more honestly to friends and acquaintances, there are some advantages in capitalizing on personal connections.

The policy of having one member do all the telephoning has the further advantage of providing comparable information about each candidate. The committee member can ask the same questions of his or her interlocutor.

Other members of the committee can, of course, follow the same format or some previously agreed upon standard set of questions. Different candidates will raise different questions in the minds of the committee, and the telephone inquiries should be tailored to individual circumstances. Nevertheless, a general framework is desirable in order to get comparable judgments. Such a framework is suggested by the list of questions below.

In writing or telephoning references one caution must constantly be kept in mind, at least in those situations where confidentiality is important. It is not a problem in open selection procedures. Where the individual does not want his or her candidacy publicly known, especially in the present place of employment (and the committee must honor this request), references must not be sought from people where the inquiry would embarrass the candidate. Where it is appropriate to proceed, the inquirer should request that his or her informant respect the confidential nature of the inquiry.

PRELIMINARY INTERVIEWS?

How soon should committees start interviewing candidates? As we have noted, some committees are expressly instructed not to make direct contact with candidates. The conventional procedure is to postpone interviews until the screening process has reduced the roster to the select list.

There are two reasons for questioning the soundness of the conventional view. Some committees reported that a few early interviews with apparently strong candidates were highly educational to the committee. Such interviews enabled them to focus more clearly on what it was they were looking for and to appraise more realistically the paper credentials of the candidates.

Second, the opportunity to get acquainted and to exchange ideas afforded by the interview may make all the difference in developing an interest or maintaining an interest on the part of the candidate in a given situation. Remember that some candidates need to be persuaded to consider the job. Communication at a distance punctuated by intervals of silence is less likely to generate interest than personal contact. Conversely, the interest aroused by an early interview is likely to be dissipated by long delays. Interviews should not normally take place until the end of the search process is in sight.

RATING SYSTEMS

The end product of the screening process is the select list. During the weeks or months spent in this exercise candidates are sorted out into different groups. Fairly standard classifications are (1) prime candidates, (2) possibly worth further consideration, (3) not qualified, and (4) deferred for further information. Some committees will set aside for special consideration inside candidates. Committees operating under sunshine laws may find it expedient to be more diplomatic in the statement of their ratings than committees which meet in private.

Some committees develop elaborate rating schedules or forms with weighted values for different features of the candidates' qualifications, professional and personal. At their worst they tend to make ratings rather mechanical; at their best they compensate for individual aberrations of judgment and facilitate comparisons. The advice of John A. Dunn, Jr., Associate Vice President of Tufts University and staff officer for their 1976 search committee, is worth considering. "Avoid complex candidate rating systems; the good candidates will surface. Getting through 400 or so candidates is a major job. We formed three 'teams' and rated candidates numerically 1-2-3-4. The top 30 or 40 surfaced on everyone's list."[5]

The ranking or grouping of candidates is a more or less continuous process from the first reading of early applications to final agreement on the select list. In efforts to speed up the process committees will sometimes make snap judgments and end up short-changing themselves. The issue is not merely that candidates deserve thoughtful consideration—after all their future career is involved—but also that the standards and insights of committee members change as they progress.

Frederick Bolman in *How College Presidents*

5. Panel discussion at AGB National Conference on Trusteeship, Williamsburg, Virginia, March 1977.

Are Chosen quotes a dean's statement calculated to make all of us think twice. "The man whom we finally selected as president started out as a little-known name near the bottom of our secondary list. Because of repeated references by outsiders, his name began to work its way upward on the secondary list, until finally it was at the top. Then it was placed at the bottom of our 'number one' list. He continued to get extraordinarily glowing recommendations. As a result, his name continued to move up. Finally, he and one other man were invited to the campus for interview. In the end, he was elected."

TWO CAUTIONS

First, keep constantly in touch with candidates. Keep them informed of their status. They should not be left in the dark. As one president said in criticism of the process by which he was selected: "The length of time in evaluating candidates was too great. There were long periods without any indication from the selection committee of their progress. Stated deadlines for providing information were not met."

Some committees write polite "reject" letters as soon as candidates are rated below the "well qualified" or "possibly qualified" rankings. Others prefer to keep all candidacies alive until the end. Either way, the committee owes it to the candidates and to its own ultimate success to keep in communication with candidates and to give them some notion of where they stand.

Second, be sure to make records of all oral communications and of all committee decisions. With hundreds of candidates confusion is easy, and over months of sorting and sifting memories grow dim. At some future date the committee may have to justify its decisions. When that time comes, full documentation becomes important.

CHECKLIST #5—SCREENING CANDIDATES

1. What size should the "select list" be? This decision should be included in the trustees' charge to the committee.
2. Who will do the actual screening of candidates?
   a. the whole committee?
   b. one or more teams of committee members?
   c. advisory committee(s) of faculty and/or staff and students?
   d. the chairman or some one committee member?
   e. an outside consultant?
3. How extensive an investigation should the committee make?
   a. Should the committee limit itself to information provided by the applicants and nominators?
   b. How far should the committee go in seeking supplementary information?
4. How to acquire additional biographical data?
   a. by correspondence with applicants and nominators?
   b. by research in public reference books?
   c. through the candidates' references?
   d. through individuals not designated by candidates?
5. To use or not to use the telephone?
   a. by whom?
   b. on an individual basis or with standard set of questions?
6. Should the committee hold early interviews with promising candidates?
7. What kind of rating system?

MODEL LETTER A:
To all sponsors of all nominees who can be contacted directly.
Letter will be sent personal and confidential.

Date

Dear_____:

Thank you very much for your nomination of _____ as candidate for president of X College. We appreciate your effort on our behalf and your interest in the College.

The search committee is now evaluating candidates and expects to reach a decision after the first of the year. We will notify you of the final decision.

Thank you again for your interest and help.

Sincerely yours,

Chairman
Presidential Search Committee

BEST COPY AVAILABLE

MODEL LETTER B:
To sponsor of any candidate who can't be contacted directly.
Letter will be sent personal and confidential.

Date

Dear_____:

Thank you for proposing_____ as a candidate for the presidency of College. In order to respect _____'s current position, we have not contacted (him/her) directly. It would, therefore, be helpful to us if you could determine whether or not _____ is interested in being considered as a candidate. If so, we ask you to provide a supporting statement which includes the following:

- An up-to-date *curriculum vita* of the candidate, if not already provided.
- Your reasons for proposing the nominee for this particular position.
- The names and addresses from whom useful information about the nominee can be secured and whose endorsement you feel might strengthen your proposal.
- The capacity in which you have known the candidate.

We enclose a Statement of Criteria for the President of X College which may be helpful to you in formulating your response.

I know you will understand that all correspondence and discussion of candidates must be absolutely confidential. If you consult other sources, please be sure that they also understand this. Premature consultation or publicity often causes the best qualified candidates to withdraw their names from consideration.

We thank you for your interest and help.

Sincerely yours,

Chairman
Presidential Search Committee

Enclosure (position description)

BEST COPY AVAILABLE

MODEL LETTER C:
To all nominated candidates who can be contacted directly.
Letter will be sent personal and confidential.

Date

Dear_____:

_____ has nominated you as a candidate for President of X College. If you are interested in becoming an active candidate, please send us the following:

- an up-to-date *curriculum vita*.
- a statement outlining your interest in the position.
- a review of your strengths in relation to the position.
- the names, addresses and telephone numbers of three references.

Unless otherwise directed, we will keep all information regarding your candidacy confidential.

We have enclosed a Statement of Criteria for the President of X College as well as other information which should help in your response.

Thank you very much.

Sincerely yours,

Chairman
Presidential Search Committee

Enclosures (position description and general information)

MODEL LETTER D:
Less promising self-initiated applicants.
Letter will be sent personal and confidential.

Date

Dear _____:

Thank you for your letter and supporting materials regarding your interest in the position of president of X College. I will forward your materials to the search committee which is now evaluating candidates. The committee does not expect to reach a decision until after the first of the year.

Unless otherwise directed, we will keep all information regarding your application confidential. All candidates will be notified of the final decision.

Thank you very much for your interest.

Sincerely yours,

BEST COPY AVAILABLE

Associate Dean of the College and
Coordinator of the Presidential Search

MODEL LETTER E:
To promising self-initiated candidates.
Letter sent personal and confidential.

Date

Dear _____:

Thank you very much for your interest in the position of President of X College.

Enclosed for your consideration is a description of the position and some information about the college. If after reviewing these materials you continue to be interested in the presidency, please submit any additional information which you feel might be helpful to the committee including names, addresses and phone numbers of references who might provide useful information to support your candidacy.

Unless otherwise directed, we will keep all information regarding your application confidential. All candidates will be notified of the final decision.

Thank you very much.

Sincerely yours,

Chairman
Presidential Search Committee

Enclosures (Position description and general information)

BEST COPY AVAILABLE

QUESTIONS FOR TELEPHONE INTERVIEWS ON CANDIDATES REACHING FINAL STAGE

1. LIBERAL ARTS:	background; understanding; views in context of higher education.
2. ADMINISTRATION:	experience; skills; style.
3. SCHOLARSHIP:	publications; speeches or addresses; status in special field; how seen by other faculty.
4. PRIVATE HIGHER EDUCATION:	abilities to defend or be advocate for in relationship to public sector; attitudes evidenced in recent years.
5. CHARACTER-VALUES:	personal background; family; community; non-academic and academic worlds.
6. RAPPORT WITH STUDENTS: (AND FACULTY)	how seen as teacher, administrator or colleague.
7. FUND RAISER:	experience; attitudes; abilities to function in this role.
ALL IN ALL:	Summary of positive and negative attributes; includes additional inquiry: "Can you see as president?"

STEP SIX—INTERVIEWING CANDIDATES

CHAPTER 6

Screening candidates, chiefly on the basis of their written credentials, is the first procedure for sorting out the pool. Interviewing those who have survived is the second. This is an essential operation. No committee which knows its business will nominate candidates for the presidency of the institution without having seen and talked with them face to face; and no board worth its salt will make an appointment sight unseen.[1]

A RISKY BUSINESS

Interviews are essential; they are also difficult and must be handled with skill. Firsthand impressions can be very misleading. Some candidates may turn on the charm and dazzle the committee with a brilliant but misleading performance. Other candidates will be reticent, either by temperament or because they prefer to conceal some part of their past. It takes a skilled interrogator to draw them out. Interviewing is a fine art which not everyone possesses. One perceptive administrator who served as chief staff member to a university selection committee writes: "I have some sense that committees can get into more trouble in the interviewing stage than in the screening stage. We tried to avoid this by asking our director of personnel to conduct a briefing session for the interviewing committees on how to interview. Everyone (especially successful people like trustees) thinks he is a good interviewer. And very few are."

All committees would do well to think about the process of interviewing. Most members could profit from a little professional guidance. A training session or a practice run under expert supervision will greatly improve the performance of interviewing teams. And this is important because the results of the interviews are often so decisive. When asked what kind of evidence about candidates had been most persuasive, the dominant answer from committee members was the interview. Not only was it "the most fruitful part of the process," to quote one board chairman; it led to dramatic changes in comparative rankings. "We continued to be surprised," wrote another chairman, "by the magnitude of the discrepancies that existed between images formed on the basis of applications and recommendations and images generated on the basis of direct contact with candidates."

Not everyone, however, will rate interviews as high as did the majority of our respondents. Donald Fouts, for example, in the article "Picking a President the Business Way" already referred to, argues that the appraisal of candidates should be based primarily on "rigorous, independent investigation," which goes to the people who know the candidates well and have observed them in actual operation. In his judgment the interview should come later and concentrate on considerations of personality, poise and similar qualities amenable to evaluation via an interview. "It is important to note," he concludes, "that utilizing the interview as a secondary source of data in no way denigrates its role in the selection process. Indeed, the interview performance may appropriately be used as the determining factor in the final selection. The only caveat is that the interview should not take the place of independent investigation or be scheduled before independent investigation has been completed."[2]

HOW MANY INTERVIEWS?

In our survey the number of candidates interviewed ranged from one to thirty—with more in the 20-30 range than one would have expected and with no significant differences between public and private, four-year and two-year, institutions. Our survey did not provide enough figures for significant averages or medians, but it would appear that most committees interview between five and fifteen candidates in the first round.

The number will be determined in part by the nature and extent of the screening process. One private college which interviewed thirty candidates concluded in its review of the selection process that a few well placed telephone calls would have enabled it to cut the number of interviews in half.

The temptation is to skimp on interviews for reasons of cost, the amount of time and energy required of committee members, and the danger of raising false expectations on the part of candidates. The first argument is wrong. We can only reiterate that the choice of the next president justifies whatever investment of money may be required. Committee time is not unlimited, but as with money the importance of the job justifies whatever output is necessary. Interviews do raise hopes and may be misinterpreted by candidates and their friends. This is a risk, but a far less serious one than overlooking the right individual on the basis of written credentials. Where doubts or differences of opinion exist in the minds of the committee members, it may be important to see the candidates.

SCHEDULING INTERVIEWS

There is no standard rule about where interviews should take place. Some institutions send teams to interview candidates on their home ground—often more revealing than interviews elsewhere, but also potentially more embarrassing to the candidates.

Private colleges and universities where concern for maintaining confidentiality is high tend to select neutral sites, either an off-campus hotel or motel, a trustee's office, or a major

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1. One midwestern university committee chairman reported in our survey that no trustee attended any of the scheduled interviews for their six finalists, which may account for the fact that the board did not appoint the candidate whom the committee recommended most strongly. And the president of an eastern college noted that "the chairman of the board did not meet me personally until *after* I was elected." These are the aberrations which cause dismay.

2. *AGB Reports*, vol. 19, no. 1, January/February 1977, p. 10. As will be clear from both this and the following chapter, we recommend that the interview be used to screen out some candidates and that the final investigation of their competence and suitability by communicating with people who are intimately acquainted with their work and personality follow rather than precede the interview.

transportation center such as Chicago, New York or Atlanta where candidates and committee members can conveniently gather.

Public institutions and especially community colleges are more inclined to hold interviews on campus. For many of them confidentiality is less important than convenience, and in some states everything is out in the open.

Wherever held, the physical setting of the interviews should be pleasant. The expenses of candidates, and of their wives or husbands if also invited at this stage, should be covered. Arrangements should be made for overnight accommodations if necessary. Some thought needs to be given to the kind of room in which the interviews take place and to the placing of chairs and tables to create an informal and so far as possible a relaxed atmosphere. If candidates are to be kept waiting, a pleasant place to wait is important.

Interviews should not be rushed. To save time it is tempting to crowd them close together. One hour interviews are apt to be perfunctory. Most committees find that they want two to three hours for each individual. On this kind of schedule four, and at most five, interviews are enough for one day. Interviewing is hard work, and after several hours one inevitably grows weary. Some break between interviews will give committee members a chance to compare impressions and to make notes. Some interviews may turn out to be a waste of time. Out of courtesy to the candidates, however, they should not be cut off short.[3] The schedule of interviews should be so arranged that candidates do not fall over one another. Even where the select list is public knowledge, candidates should be kept out of each other's way. On one private college campus candidates were whisked about from one faculty house to another to prevent them from meeting. In another situation all candidates were invited to the campus the same day, repeatedly bumped into each other, and reported that they found the process "demeaning and degrading." The president of a community college reported: "In my particular situation, several candidates were brought together at the same time for purposes of interviewing and social interaction (the search committee did conduct individual interviews). I personally found this to be a most clumsy and confusing manner in which to conduct the search. I would have preferred more emphasis on individual treatment."

WHAT QUESTIONS TO ASK?

Committee members should know a great deal about the candidate by the time he or she comes for an interview, and the members should have the full biographical record—age, education, family, professional positions, public statements on educational issues, and the like—freshly in mind at the time of the interview.

The great merit of the interview is the impression it provides of personality, character, style. What kind of a person is this? How comprehensive is his or her understanding, how sharp the edge of the mind, how quick the forensic skill? Has the candidate a sense of humor and a sense of compassion?

The interview also can throw some light on unresolved questions in the minds of committee members. The candidate's position with regard to research, teaching, tenure, collective bargaining, graduate study, professional programs, governance can be explored. Ambigious or contradictory comments from references about the candidate can be pursued and assessed.

Should candidates be asked a standard set of questions or should each interview be custom tailored? If the position stated in the preceding paragraph has merit, each candidate should be treated as a unique individual. Each individual record will have its own blank spots or ambiguous areas which need clearing up. The art of interviewing involves thinking about each interviewee in advance and designing the kind of interrogation which will exhibit the strengths and weaknesses, the professional competence and the human qualities, of the candidate.

However important, this kind of questioning makes comparisons difficult. Since comparative judgments are the nature of the exercise, committees find themselves pushed in the direction of a uniform set of questions for all candidates and a rating sheet or form on which to score the answers. These can sometimes become quite detailed and mechanical. Open-ended questions tend to be more illuminating. Following are two examples—a quite simple set used by a midwestern liberal arts college and a much more detailed set used by a west coast community college. Most committees probably end up somewhere in between.

3. The committee of one liberal arts college divided into two halves for the interviews. Each candidate met with each half-committee. This had the advantage of reducing the size of the interviewing group, which made it less formidable to the candidates, of giving the candidates the opportunity of correcting a poor performance with one group by a better performance with the other, and of allowing the two halves to compare notes at the end of the day.

INTERVIEW PROCEDURES AND RATING

(Excerpts from the final report of the chairman of a liberal arts college committee)

The committee was quite divided on the effectiveness of our interview procedures. The candidate would be allowed between one hour and one and one-half hours to talk to the committee. Generally, a sub-committee of five or six people would travel to New York, Chicago or Los Angeles for interviews. . . . The committee developed a stock line of about seven questions, e.g.:

1. What is the future of the small, independent liberal arts college?
2. What is its purpose?

3. Can the self-imposed pressure on students be corrected?
4. How can the applicant pool be increased?
5. How do you view raising money for the college?

The candidates' answers and overall impression would then be rated and characteristics such as energy, humor, presence, intelligence, verbosity, warmth, leadership, and others were rated on an alphabetical system. The marking was tough and I believe the highest candidate received an A−. . . . It was recommended wisely that there be more of an overlap with committee members in their travels so that the rating system could be more uniform. It was also suggested that the committee have a specific rating sheet for each candidate.

I find it difficult to systematize such a subjective process. I think the candidates were by and large put at ease and given a chance to express their opinions on some very complex issues. Overall ratings were really quite consistent within the committee although there were often very real differences of opinion on a given characteristic. This entire procedure was designed to reduce the candidates from 30 down to five.

SCREENING COMMITTEE INTERVIEW PROCEDURES AND QUESTIONS

CHAIRMAN: Opening interview with candidate

I. WELCOME CANDIDATE—introduce to committee—make the candidate feel at ease.

II. EXPLAIN MAKEUP OF COMMITTEE:
A. Committee appointed by board of trustees.
B. Committee responsibility of reviewing applications, interview applicants chosen for interview, rate applicants as to their qualifications and submit the names of those applicants most qualified to the Board of Trustees.

The Board of Trustees will make the final decision. They will also discuss salary and other pertinent matters with you.

III. THE BOARD OF TRUSTEES SET UP FOUR QUALIFICATION AREAS
A. Academic Qualifications and Capabilities
B. Leadership Qualifications
C. Business Management Qualifications
D. Public Relations Qualifications

These questions will be asked you by various members of the committee.

IV. PLEASE TELL US SOMETHING ABOUT YOURSELF.
A. Your training and background that would qualify you for the position
B. What do you know about college?
C. Why are you interested in this position?
D. What strengths do you feel you can bring to this specific position?

V. PLEASE FEEL FREE TO ASK THE COMMITTEE ANY QUESTIONS YOU MAY HAVE DURING THE INTERVIEW

VI. QUALIFICATIONS QUESTIONS

A. Academic Qualifications and Capabilities

1. Would you briefly review your *academic training,* and also the various kinds of administrative experiences that you have had? Have you participated in any accreditation studies of community colleges?

2. Presumably, a college president should combine in his or her person a *variety of competencies*—that of a scholar, public relations expert, leader, business manager, and manager of the educative process. Would you care to rate these in their degree of importance as they apply to the community college?

3. Normally, community colleges provide several *types of educational programs*—transfer, occupational, adult, ethnic counseling, psychological services. Do you look upon these as being of differing importance? Which is most vulnerable? That is, if retrenchments had to take place (because of lack of funds, for example) which programs might be sacrificed first? Second?

4. Describe any *innovative instructional programs* with which you have been involved. Could you assess their relative success? Do you have any feelings—positive or negative—about innovative programs?

5. What are your views of *ethnic studies* (Asian, Black, Chicano)? Should they be expanded? Curtailed? Are they essentially segregationist? How might they be improved? How should they relate to the entire community?

6. In your view, how can the *teaching process best be evaluated?* Who should do the evaluating? Do you believe that pay scales for teachers should be geared to such evaluations?

7. Perhaps you know that community colleges do a great deal of *remedial teaching.* Do you have any suggestions for an over-all administrative plan for making remedial programs more effective?

8. In recent years we have been deeply concerned with *accountability:* receiving educational value for dollars spent. This issue is usu-

ally discussed only in *quantitative* terms: a given number of items to be learned in a given interval of time. Do you see any way in which we could devise a system of accountability which is based on *qualitative* improvements?

B. Leadership Qualifications

1. What are your own *personal aims* or goals for education on the community college level? What are the characteristics of leadership which seem most essential in achieving these goals?

2. What would your reaction be if the board opposed something which you thought was educationally sound? What if the board proposed something which you thought was educationally unsound? The board has always had a problem keeping abreast of curriculum developments in the district. How would you propose keeping the board informed in this area?

3. Do you have specific views on how educational leadership might be shared with the administrative staff and with the faculty? What is the *role of the faculty* in the governance of the college? The role of the student body?

4. Are you familiar with the new state law which sets up *collective bargaining* for teachers? What administrative changes might you make in order to accommodate this law? If for some reason the faculty should call a strike, what actions regarding it would you be inclined to take? Have you ever been involved in a strike or a protest situation?

5. If you should find, for some reason, that certain *administrative reassignments* are in order, what procedures might you follow in going about it? For example, what groups would you consult?

6. What special problems might be involved in becoming an effective leader of an institution which includes a large number of *minority groups*, both as students and as staff? Describe any important experiences which you have had as an administrator in working with minorities.

C. Business Management Qualifications

1. In your view how does the *management of education* differ from the management of businesses which are organized for the purpose of making a profit? Do you think of yourself as being chiefly an educator, manager, businessman, scholar, administrator?

2. In your experience with educational institutions, which have been the most demanding or the most crucial of the *problems which you faced:* the management of personnel, of instructional programs, of fiscal affairs, student problems, community relations?

3. Have you been directly involved in promoting bond and *tax over-ride elections?* If so, describe something of how the staff, the board of trustees and the community were involved.

4. The college has on its staff a *vice president for business*. How do you conceive of the president's working relationship with him in such specific tasks as developing budgets, dealing with tax problems, allotting funds, and establishing contacts with state agencies as the chancellor's office as well as the state legislature?

5. There seems to be a continuing trend toward *state control* of community college education. In your view, what might be a workable balance between local boards of trustees and the state agencies which are involved in determining the quality as well as the extent of education on this level?

6. What are your views and what experiences have you had in dealing with *federally funded programs?*

7. Have you ever been involved in helping to plan and to carry out *building programs?* Describe something of your procedures: who was involved and at what stages, what ends or purposes were served, what role the faculty and the classified staff played, what community problems arose.

D. Public Relations Qualifications

1. Would you describe some *activities* or some functions which you have performed in the communities which you have served? We refer to such organization as churches, service clubs, governmental offices.

2. Have you received any *awards, honors or recognitions* from public bodies or institutions where you have served? If so, which was the most satisfying to you?

3. We have an active *alumni association* at the college. Do you envision how such an organization can be of help to the president and the college? How would you envision the college to be supportive of a new alumni association?

4. Many communities have had experiences with friction in *educational and racial issues.* Have you had any experience in working with local political groups, minorities, and other kinds of pressure-oriented groups? Would you describe some experiences related to them?

5. Are there better ways than others of handling

complaints from irate persons, particularly complaints about specific classroom teachers? Can you recommend some procedures for dealing with such problems?

6. In your view, what kinds of activities at the college serve as the most effective public relations?

THE INTERVIEWING TEAM

Who should do the interviewing? The whole committee if possible, and this is an argument for holding the interviews on or near the campus. For reasons of convenience and expense many committees set up one or more teams of interviewers. It may be a single subcommittee composed of a trustee, faculty member and student, or the committee may divide up into two or more teams. The latter runs the risk that the members of one team will react to candidates differently from the members of another team. This could lead to the elimination of an individual whom the committee as a whole might have kept in the running.

A wise principle is not to eliminate any candidate about whom there is a serious difference of opinion and certainly not to do so unless more than one member of the committee is opposed to the candidate. Since, however, all candidates favored by a subcommittee will be reviewed by the committee as a whole (and quite possibly interviewed by the whole committee), the danger of a too favorable judgment by one team will be avoided.

Interviews by single committee members should be avoided so far as possible. This is sometimes specifically outlawed by the ground rules under which the committee operates. Occasionally a committee member will find himself or herself in the vicinity of a candidate and may be encouraged by other members to seize the opportunity for information at first hand. This can be helpful, but should only be done with the knowledge and approval of the committee. It should not be used as a substitute for an interview by the whole committee or by one of its teams.

A few committees in our survey relied on professional consultants to conduct preliminary interviews. As noted in Chapter 2, the outside consultant has certain advantages in talking with candidates. As a professional personnel officer the consultant brings the special skills important to good interviewing. As a person of wide experience in the educational field, he or she is better prepared than the average committee member to relate personality traits to institutional needs and problems. As a third party outside the immediate family, the consultant is in a strategic position to interpret the institution's situation and opportunities to the candidate in more realistic and persuasive terms than can most committee members, and for the same reason can more easily and gracefully find out how genuinely interested the candidate is.

A TWO-WAY STREET

The interview is usually the first face-to-face contact between the candidate and members of the committee—sometimes after weeks or months of correspondence and waiting. The impressions gained on both sides are often crucial. Committees must remember that the candidate is judging the college or university just as the committee is appraising the candidate. The best candidates, as we have noted, are often reluctant candidates who need to be courted. Committee members have the difficult role of both interrogators and salesmen.[4]

Thoughtful candidates will come to the interview full of questions about the way the institution operates and about its problems and prospects. They will also be curious about the extent to which trustees, faculty and others understand those problems and prospects and the degree of their commitment to the institution. (See the sample on page 66 of Chapter 7 for the kind of questions which candidates are likely to have on their minds and which committee members should be prepared to discuss if questions are asked.) They should have received extensive information about the institution in advance of the interview. The committee at one state university prepared a slide presentation on the university which, together with a 16 mm. film produced by the local Chamber of Commerce, was shown to each candidate in connection with the interview. A recurrent complaint from the newly elected presidents in our survey, especially from those at community colleges, was their lack of exposure to the people and problems of the institution before they had to make a decision about the job.

The interview is a golden opportunity to sell the college or university. This is partly a matter of information, partly of atmosphere and attitude. Interviews are not always easy for candidates whose careers are at stake. Their reaction to the institution will depend in part on their impressions of the people with whom they are dealing. Thus the manner in which the interviews are conducted is very important. Here the chairman plays a decisive role, for he or she is responsible for putting the candidate at ease, for directing the course of the inquisition, for curbing irrelevancies, for stopping the undiplomatic committee member, and for easing an embarrassing situation by humor or a change of topic.

4. Consider the perceptive comment of Professors Frederick S. Weaver and Louise T. Farnham: "Faculty and student committee members are interviewing their future supervisor or someone who will have a direct effect on their work. Relevant information should be gathered with as much discretion and taste as humanly possible, for reasons of future working relationships as well as in the interests of finding and hiring the best possible candidate." "On Selecting Academic Administrators" in the *Educational Record*, vol. 58, no. 3, September 1977, p. 324.

TYING UP THE RESULTS

Certain actions should follow immediately upon the interviews.

1. Committee members should record their individual impressions. Whether this is done on some previously agreed upon rating sheet or in the form of scribbled notes, reactions to the strengths and weaknesses of the candidates interviewed should be promptly recorded. With a dozen personalities being compared, it is easy to become forgetful or uncertain. The written record becomes invaluable.

2. The select list (candidates judged worth interviewing) should become even more select (candidates worth inviting to the campus for wide exposure). How to handle those candidates who survive the interviews is the subject of the next chapter. The committee's decision about the survivors should follow on the heels of the last interview.

3. Once the above decisions have been made, the chairman, or the committee's administrative officer on behalf of the chairman, should promptly get in touch with the candidates, advising them of their status. If the committee is still favorable, tell the candidate so—and use the occasion to make certain that the candidate is still actively interested. If the committee is not interested, the candidate should be so informed.[5] If a decision must wait upon the completion of other interviews or more information, tell the candidate that he or she will be hearing from the committee within such and such a time. There is nothing so demoralizing to the candidate as to be left dangling after the interview.

At this stage the search for the new president is approaching its climax. Keep in communication.

ADDITIONAL SOURCES OF INFORMATION

Warren G. Bennis: *The Leaning Ivory Tower,* Jossey-Bass Publishers 1973. Chapter 2, "Searching for the 'Perfect' President" is an amusing account of the search process as seen by the candidate. A catastrophic interview is described on pages 30-31.

Frederick deW. Bolman: *How College Presidents Are Chosen,* American Council on Education 1965.

Joseph F. Kauffman: *The Selection of College and University Presidents,* Association of American Colleges 1974

Richard A. Kaplowitz: *Selecting Academic Administrators: The Search Committee,* American Council on Education 1973

Donald E. Fouts: "Picking a President the Business Way," *AGB Reports,* vol. 19, no. 1, January/February 1977

Frank R. Miller: *The Selection and Appointment of School Heads,* National Association of Independent Schools 1975. While aimed primarily at private secondary schools, the problems are much the same, and the discussion of interviews with candidates is very good.

Herbert R. Hengst: "Interviewing the Candidate for President" *AGB Reports,* vol. 20, no. 1, January/February 1978.

5. One correspondent speaking from personal experience calls attention to a special situation. "A committee may sometimes leave a name on the list for some political or sentimental reason when it is clear to the committee that that person is not going to be chosen. But this is a mistake: postponing the removal of a name simply makes for trouble, not courtesy; it builds false hopes either in the candidate or in partisans."

CHECKLIST # 6—INTERVIEWING CANDIDATES

1. The committee should decide:
   a. How to make interviews effective
   b. How many candidates to interview
   c. Where to hold interviews
      (1) on campus
      (2) neutral site
   d. On convenient and comfortable physical arrangements
   e. On schedule of interviews
   f. What questions to ask
   g. Who should do the interviewing
      (1) the entire committee
      (2) one or more teams
      (3) professional consultants
   h. What information to provide candidates
   i. How much effort to sell the candidates
2. At end of interviews committee should:
   a. Reduce the list of candidates
   b. Decide on next steps
   c. Inform candidates of their status

CHAPTER 7

STEP SEVEN—SELECTING TOP CANDIDATES

After the interviews with candidates the real soul searching begins. Occasionally committee members will be so unanimous in their preference, so convinced that they have identified just the right person to be the next president, that they are prepared to make a recommendation to the trustees without further ado—without, that is, further checking into past performance and without further involvement of faculty, administrative staff or students. Attractive, however, as it may seem to bypass several steps in the laborious process of selection, this is a risky procedure. Sudden attraction is not the best augury for permanent marriage.

Normally the committee should be able to reduce its roster of candidates after interviews to ten or fewer, often to as low as two or three, each of whom looks promising. At this point most committees face two assignments. The first is to complete the investigation of the candidates (unless following Fouts—see page 54—that has already been done), to get as much information as possible on their background and performance. The second is to expose them and the college or university community to each other in order to find out how compatible and enthusiastic they are after closer acquaintance and inspection. In a sense the campus visit is one more step in checking out the candidate. Usually it is the last one.

As the search narrows, it becomes more intense. Sometimes committees will want second interviews with certain candidates to fill in gaps or to settle differences of opinion. Even third interviews are occasionally required, but this is usually to provide an opportunity for committee members who missed out on an earlier session.

RIGOROUS BACKGROUND CHECK

The normal procedure at this point is to make a thorough investigation of the background and professional performance of the potential candidates for campus visits. This kind of investigation, the importance of which can hardly be overstated, can be made during the earlier screening process. Some commentators, like Fouts, recommend that it precede interviews; but in view of the potential embarrassment resulting from local investigations (unless done with professional skill), it is better to hold off until the list of candidates has been reduced to the finalists.

There comes a time, however, when local inquiries cannot be longer postponed. They can and should be made with sensitivity and with the knowledge and permission of the candidates. The failure to investigate thoroughly can be a fatal mistake. "We didn't visit all candidates on their own campuses. This would be helpful," wrote the board chairman of a private junior college in response to our question how she would proceed differently if it all had to be done over again. Another would institute on-site visits which had been omitted altogether.

Presumably during the screening process committees will have been in communication with the references supplied by the candidates. These, being pre-selected, are likely to have limited value. It is important to be in touch with others who have worked closely with the candidate both in his or her present position and in previous positions and who can give independent appraisals of their personality, capacity to work well with others, to delegate responsibility, to function under stress, to exemplify in private as well as public life the qualities for which the committee is looking. This is the sort of assessment the committee needs at this stage. It should be a composite assessment, for no one sees the whole individual. Those for whom the candidate has worked may have a quite different picture from those who have worked for the candidate. Performance in one job may differ markedly from performance in another. The hostile critic needs to be discounted as much as the undiscriminating friend.

Background information of this kind can be obtained by correspondence, by telephone calls and by personal visits. While there are some advantages in having an evaluation in writing, most individuals tend to be less frank and less detailed in writing than in conversation. In addition, at this late stage letters cause too much delay.

Telephone calls are less expensive and, except for the person who telephones, less time-consuming than on-site visits. Whether they are less satisfactory as well is a moot point. Some people communicate better face-to-face. The visual and personal relation is likely to improve both the quality and the quantity of communication. People tend to speak more freely and fully than they write. Their inflections and hesitations can reveal information not to be found in a written statement.

The candidate should know that an investigation is being made. Inquiries, whether made by a designated committee member or by a team of members, might well begin with individuals suggested by the candidate, but it should be understood that they will not stop there.

Many faculty and administrators in public institutions who are presidential candidates, even where there are no sunshine laws, favor open rather than private search and selection processes. For them on-site visits of inquiry constitute no problem. Even where every effort is made to maintain confidentiality, as in most private institutional searches, word leaks out, and some, if not all, of a candidate's colleagues are likely to know that he or she is an active candidate. Where this is not the case, those making the investigation can safeguard the candidate by taking the line: "So-and-so has been suggested

to us as a suitable person to be president of X University. We would like your judgment." The resulting conversation should reveal much that the committee wants to know.

There are various ways of pursuing background investigations. The people queried and the questions asked may well differ for public and private institutions. Here is one example of the way the chairman of a well organized private university search went about it. "I personally called all the references for the six candidates and made a report on the telephone conversation, which was sent to every member of the committee. These calls followed the format generated by the following list of questions:

"a. Was there anything in his background that could turn up later that could embarrass us personally.
b. Would he and his family fit into the small college-small town situation.
c. His leadership ability.
d. His stage presence.
e. Does he wear well.
f. His energy.
g. His commitment.
h. Can you work for him.
i. Would you work for him.
j. Is there anything we should know that I didn't ask."

The procedure of the committee at another institution was described as follows: "Just in advance of campus visits, one final inquiry was made in order to be as thorough as possible in investigating the qualifications of the finalists. Believing that there is certain information one cannot learn from dossiers, interviews or references, teams from Dension, with the candidate's permission, visited each finalist's home campus to talk with students, faculty, administrators and trustees about the candidate's performance in his current environment. Such exhaustive investigations are rarely made in college searches, but the information obtained in these visits proved well worth the effort."[1]

Here again an outside professional consultant can be very useful. With a broad background of information and trained in the technique of investigation, the professional knows what questions to ask, where answers can be found, and how to evaluate conflicting responses. He or she can move about the campus and community in less conspicuous fashion and will therefore cause less local excitement. Furthermore, the consultant need not reveal (if there is reason for keeping it secret) the institution on whose behalf he or she is making inquiries.

THE CAMPUS VISIT—PLUSES AND MINUSES

Having winnowed down its original roster of candidates by screening based on credentials, interviews and investigations of past performance, the committee must now decide which candidates should be invited for campus visits.

A few of our presidential respondents reported that they were offered—and accepted—the presidency without ever having visited the institution. The vast majority of candidates, however, would not dream of accepting without knowing something about the institution at first hand. They will want to see the campus with its physical plant, to get some measure of the faculty's concern for educational issues, to gauge the quality of the administrative staff with whom they would be working, to get some impression of the character and temper of the student body. What they find may turn them off, or, hesitant and skeptical to that point, they may find themselves turned on.

Faculty, administrative staff, students, alumni, members of the state educational system (if a public institution) as we have noted, are all concerned over the choice of the next president. They would like to feel that they had had some voice in the selection, and for the president-elect it is important that he or she be welcomed with open arms. Judgments based on a brief exposure may not be well founded, but at least the new president comes not as a total stranger and presumably with the acceptance of the academic community. If he or she proves to be anathema to one or another group, the trustees are not likely to try to force the issue.

There are, however, dangers as well as advantages in campus visits. The most obvious is that the candidate's cover will be blown. Smaller institutions, both public and private, have succeeded in exposing candidates to quite a wide variety of local inhabitants without getting press coverage or leaks back to the home campus; but this depends on the good will and cooperation of the student newspaper and on a very high degree of discretion and discipline on the part of the community members. Where those assets do not exist, where strong disagreements have politicized the campus, where supporters of an inside candidate carry on a campaign against all outsiders, campus visits are likely to become the focus of considerable public attention. The larger and more prestigious the institution, the more difficult it becomes to maintain confidentiality. Committees can minimize the damage by their arrangements; they cannot guarantee that damage will not occur.

Furthermore, the parade of more than one candidate across the campus invites a local popularity contest. If faculty or student opposition to a given candidate is strong enough (whether the grounds for the opposition are valid or spurious), it effectively limits the trustees' choice. Some university constitutions give the faculty an official veto over the choice of a new president. For all practical purposes most faculties possess such a veto, but are sensible enough to use it only rarely. If the committee has kept its various constituencies informed of

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1. Mary Jane McDonald, executive secretary to the college's search committee, in the *Denison Alumnus*, August 1976, vol. 68, no. 1, p. 7.

its progress, critics should have had a chance to voice their concerns before the list has been reduced to the handful of campus visitors.

Those who fear the popularity contest argue (1) that it works all right when there are two or more candidates of equal worth in the eyes of the committee, (2) that this is almost never the case, and (3) that the committee which has wrestled with the problem for months is in a far better position to make a preferential judgment among the candidates than faculty, students and even trustees who see them for a day to two. If, they argue, the committee members are really convinced that A is the best person to be the next president, it is thoroughly frustrating to have faculty and/or students come out strongly for B or C on the basis of first impressions and over-emphasis on "personality."

This is a real danger, but it is one which many committees feel they must run for the sake of compensating advantages. We have pointed out before and emphasize it once again that presidents, no matter how outstanding, must live with faculty, students, administrative officers, alumni and others. To be effective they must have campus support, and the best way of insuring such support at the start is by involving the campus groups in the selection. Furthermore, both committee and trustees are left with considerable room in which to maneuver. In the example above, even though faculty may prefer B to A and students C to A, the committee is free to recommend A and the board to appoint him or her. The embarrassing situation suggested above occurs only if the campus community is dead set against A, in which case the trustees would be unwise to appoint and A would be foolish to accept.

CANDIDATE ON PARADE

Whether several candidates or only the committee's top choice are invited for campus visits, plans need to be made with great care.

One-day visits are barely adequate. A day and a half to two full days are much better. One state university arranged visits of four days each for its four finalists.[2] And the campus should concentrate on one candidate at a time, not only to avoid the embarrassment of candidates bumping into one another, but also to extract as much advantage as possible by focusing on one individual.

Decisions must be made about who will meet the candidate and under what circumstances—all the faculty who are interested or selected representatives of divergent faculty groups, students at large or members of the student government association, which administrative officers, which representatives of the denomination with which the institution is related (if any), local alumni, community leaders, state educational officers (if public), trustees other than those on the selection committee.

With so many people eager to get into the act, the candidate's schedule must be carefully planned well in advance. The board and committee chairman of a church-related college in the south described their program as follows: "When we brought a candidate to the community for an interview, we always requested that the candidate bring his wife. We planned a very comprehensive schedule of interviews for these candidates, which included a meeting with all department heads on the faculty, a meeting with student leaders, a meeting with some trustees, and, of course, meetings with members of the search committee. These meetings were normally culminated at the end of the second day with a dinner and social hour at my home, followed by a two or three hour session between the candidate and the members of the search committee. This type of social arrangement also gave our spouses an opportunity to visit with the wife of the applicant. Thus, we obtained input on the adaptability of the candidate's wife to our particular situation."

The chairman of the southern state university referred to above described in general terms the four-day visits of the four candidates and their wives whom they invited to the campus. "Their schedule was very busy, usually starting about 6:30 a.m. and concluding during the evening. We arranged several interviews and meetings with the major elements of the university, in addition to sessions with the selection committee. Actually, they met with over 100 members of the university. These included the board of trustees, top administrators, deans and department chairpersons, members of the faculty senate and representatives of the student body. The candidates were subjected to a very comprehensive review by our associates on the campus." There follows below a fairly typical schedule for a 48-hour visit.

2. In our survey we asked the new presidents: "Would you have found a different search and selection process preferable?" Of those who answered either "yes" or "somewhat" 20% gave as the reason inadequate opportunity to get acquainted with the institution and to interact with the various constituencies. One president commented: "My first contact with the search committee was a 40-minute interview in an airport motel suite with the thirteen members of the selection committee. Their next plan was for me to come to campus for only an afternoon. At my insistence this was extended to about a 28-hour visit, still not enough."

CAMPUS VISIT OF PRESIDENTIAL CANDIDATE

(From a discussion of Denison University's search process in the *Denison Alumnus*, cited above.)

Sunday

4:30 Visit to Doane Library
6:30 Cocktails with 20 faculty members and spouses at the home of Dean of College
8:00 Dinner at the home of the University Professor with four other faculty members

Monday

8:00 Breakfast meeting with Provost
9:45 Meet with Vice President for Finance and Management
11:00 Meet with small group of faculty (9) to discuss curriculum
12:00 Informal luncheon in Student Union with faculty
1:15 Meet with Dean of Students
2:00 Tour of campus to include a visit to Burke Hall of music and Art
3:15 Meet with faculty departmental representatives (30 people)
6:30 Cocktails and dinner at President's home (7 trustees, 9 others, and spouses)
10:30 Retire, Middleton House

Tuesday

8:00 Breakfast meeting with Director of University Relations (Development)
9:10 Meet with Dean of Admissions
10:00 Meet with small group of faculty (10) to discuss scholarship and research
11:00 Meet with small group of students (9)
12:00 Luncheon with alumni leaders
2:00 Meet with student representatives (22)
4:45 Depart Middleton House for Columbus Airport

Some selection committees find an initial meeting with the candidate a useful and gracious introduction to the campus. Other committees prefer to end with such a meeting in order to find out what kind of experience the candidate has had, what questions and reactions generated, what problems remain to be settled.

All this sounds strenuous, and indeed it is—unavoidably so. One wants to be gracious, friendly, relaxed, to create a favorable impression on the candidate. Yet there is so much to be covered in a limited time. There is also an additional reason for setting up a fairly crowded schedule. That is the way the new president will be living his or her professional life, and it may be well to observe them under pressure. In the words of one thoughtful chairman: "Though I am not quite sure of how this would go over with super professionals, I am convinced that some index of the candidate's reaction to pressure would be most helpful. Such an examination would not insure but might preclude the institution being involved in the 'Peter Principle' (promoting persons to their levels of administrative incompetency)."

Faculty and student members of the committee, or faculty and student advisory committees as the case may be, can take major responsibility for much of the candidate's visit; but each candidate should have one member of the committee or one administrative officer as his or her particular host, whose responsibility it would be to shepherd the candidate from interview to interview, to introduce and to explain, to make special arrangements when necessary and to alter the schedule if desired. The host should meet the candidate at the airport or wherever, make certain that overnight accommodations are satisfactory and attractive, see that the candidate gets to appointments on time, and in general stay with the candidate until departure.

At group meetings the host should probably be present—to mediate if necessary, to observe reactions and to interpret to the candidate afterwards why certain questions were raised and who it was who pushed a certain line of inquiry. At individual conferences with administrative officers the host's presence is normally not necessary and may interfere with full communication between candidate and staff.[3]

INFORMING THE CANDIDATES

The campus visit is an opportunity for the candidate to get acquainted with the institution as well as the institution with the candidate. Except for inside candidates it is a vitally important opportunity and one frequently muffed. A sensible and realistic candidate will want to know as much as possible about the institution whose destiny may ultimately be his or her responsibility. Between 50 and 60 percent of the

3. At one campus we visited the committee felt it was important for the host to be present at all of the meetings in order to see how consistent the candidate was in the presence of different constituencies.

presidents responded in the affirmative to the question, "Did the search committee provide you with a clear and accurate picture of the opportunities, problems and needs of your institution?" One president of a four-year public university said: "The committee was refreshingly candid." On the other hand, the president of a two-year community college reported: "They were not sure themselves, checked with others in this regard. A couple of board members indicated afterwards that if they indicated how bad things were in their estimate, I might not have taken the job."

Presumably a packet of information about the college or university will be provided all candidates invited to the campus, if not all candidates invited for interviews. Following are two examples of the kind of material which is useful.

The intelligent candidate will have studied this material in advance and will arrive full of questions about the financial situation, governance structure, temper of faculty and students, public relations of the institution, enrollment trends, collective bargaining (where it exists), and the like. See below for the kind of question candidates are likely to ask. Every finalist should be given full opportunity to learn the whole story.[4]

4. The degree of dissatisfaction reflected in the responses to our survey from the newly elected presidents is disturbing. One can only conclude that a great opportunity is frequently being missed. See also Joseph F. Kauffman, "The New College President: Expectations and Realities," in the *Educational Record*, vol. 58, no. 2, for a thought provoking report on what presidents failed to learn in advance.

QUESTIONS ON CANDIDATES' MINDS

On finances

Has the institution generated operating surpluses or operating deficits in the last five years?

How much indebtedness? Of what nature?

Has the institution experienced recently any cash-flow difficulties?

What is the condition of the physical plant?

Have there been any developments that would significantly affect the nature of the institution's traditional sources of revenue or the level of support?

a) For private institutions—What is the overall strategy for raising revenue from private sources? When was the last capital campaign? What was the goal and outcome? Is there need for a major fund-raising campaign? How has support from private sources changed over the last few years?

b) For public institutions—What has been the recent record of the legislature regarding appropriations to the institution? How does the institution's appropriations, state and federal, compare with appropriations for other institutions in the state?

c) For community colleges—Can local support, in taxes or in donations, be counted on? What local problems, if any?

On faculty

Which are the strongest, which the weakest, departments, schools, areas of instruction or research?

What is the rate of faculty turnover? Is there a tenure problem?

Is faculty morale good, bad or neutral?

Is there a faculty union? Pressure for one? What is the institution's position on unionization?

Have recent accreditation reviews resulted in any recommendations for significant changes? If so, what kinds of changes were recommended and how have they been dealt with?

On administration

Where is the administration strongest, where weakest? Are there serious problems in the administrative area?

On students

Has the student body changed in size or composition over the last five years? What is anticipated over the next five?

Is there a dropout problem? How serious?

What percentage of the students are receiving financial aid?

What is the recruitment program?

On board of trustees

How strong, interested and active is the board?

What does the board see as its role in governance?

Is there mutual trust among board, faculty and administration?

Has any legislation, state or federal, been proposed or passed recently that will have a significant effect on the institution?

On public relations

Is there a town-gown problem? If so, what has caused it and what can be done about it?

Does the institution have the whole-hearted support of its alumni?

For public institutions—What kind of liaison does the institution have with the state department of education, the governor's office, the legislature?

For church-related institutions—Is the college or university controlled by, supported by, or independent of the parent religious denomination?

In general

What are the major strengths of the institution? Its major weaknesses?

What are the most serious problems which need attention?

What are the three most important contributions a new president could make?

A committee and board that are not able to respond candidly and thoughtfully to questions of this kind are likely to discourage a promising finalist or find themselves later with a surprised and unhappy new president. It is also good practice to provide opportunities for final candidates to meet privately with key officers and faculty members (particularly the chief financial officer) where many of these questions can be explored.

The campus visit can also be a glorious opportunity to persuade the candidate of the worth of the institution—the quality of the educational program, the commitment of the faculty, the enthusiasm of the students, the conviction that all problems are surmountable and the future exciting. Faculty and students need to understand this. All too often they will naively assume that anyone would want to be president of "their" institution. Sometimes with the best of intentions, sometimes with the worst, and often without any thought at all, they can be very rough on candidates. "At the time of my first interview," wrote one new president, "I was turned over to the tender mercies of a hostile faculty group for an entire evening and, as a result, almost withdrew assuming the group was representative. A more balanced faculty group would have been preferable." Amen.

SAMPLE MATERIALS PROVIDED CANDIDATES

Bucknell University

1. *The Rise of Bucknell University,* J. Orin Oliphant
2. Charter of the University
3. Bylaws of Board of Trustees
4. University Catalog
5. Faculty Handbook
6. Administrative Handbook
7. Treasurer's Report (past 10 years)
8. Self-Study for Middle States Evaluation (1972-73)
9. President's Report (past 10 years)

Yankton College

1. College Catalog
2. Audit Report
3. Current Budget
4. Last accreditation report of the College
5. Conservatory of Music evaluation
6. Fiscal giving record (3-year breakdown by category of donor)
7. Enrollment figures for last three years
8. Five-year plan
9. Sample of Admissions material
10. Faculty By-laws
11. Tenure policy
12. Yankton College Standard (as adopted by students)
13. Form to be used in evaluating the candidate
14. *Only by request*—the Bylaws of the College

It was also felt that information regarding the community could be obtained from the Chamber of Commerce and sent with the above material.

THE PRESIDENT'S SPOUSE

Time was when college and university presidents were men, save for a sprinkling of Sisters and a few remarkable women. And the men were married to wives whom the trustees assumed would trot along with their husbands in the service of the institution. But times are changing, and boards of trustees must not only give equal consideration to women, whose husbands will have their own careers, but also accept the fact that more and more wives of presidents, or of men who would qualify as presidents, are professionals with *their* own careers.

The place, if not the role, of the spouse today presents some acute problems for committees of selection. On the whole, the place of the male consort is the lesser problem. There are still fewer of them; and while occasionally a place is found for the husband within the administration (usually on the business or financial side), he usually has his own position outside the institution. Depending on his temperament and interests, he may participate to a greater or lesser extent in the life of the institution. About all that the college or university can ask of him is that he not make demands upon his wife's time inconsistent with her obligations to the institution and that his personal and professional conduct be above reproach.

The present day increase on the part of women in independent interests outside the home and in careers of their own points up the problem of presidents' wives. Boards of trustees can no longer take their services for granted—and for free. The fact that more wives are today insisting on freedom to continue their professional or outside activities and that the institution must accommodate itself to this situation raises the uncomfortable question, what are reasonable expectations regarding the wife's place and contribution?

These expectations should not be shoved under the rug, and the time to explore them is toward the end of the selection process—either at interviews with both husband and wife or at the time of the campus visit—and *before* the husband must decide whether to accept an offer. Although here and there some strong-minded couple will insist that the presidency is a one-man or one-woman job and that the trustees need not concern themselves about the partner, most boards of trustees as well as the college or university community regard the presidency as a team assignment. This being the case, it is not only unfair but unwise to take the wife's role for granted. She needs and deserves to know what is expected of her.

Marguerite Corbally, wife of the president of the University of Illinois, describes the situation in eloquent terms: "It is quite common for the board to direct their discussion of business to the candidate in private and to turn to social subjects when the wife is present. If she has unanswered questions, she may have to be bold in the pursuit of the information. The trustees and other constituencies may be unprepared to answer these questions. They may have vague, uncrystallized ideas regarding their expectations of the wife. Some will deny they expect anything of her. Others are hoping that she already knows what is expected without their having to verbalize their uncertain feelings. A few realize that she must be involved, but they want her to feel free to choose what she will and will not do. Understandably, most boards are uncomfortable with the subject of the wife because they are not prepared to pay for her services and they are reluctant to be plain about what they want of her or even to be open about the fact that they do have expectations of her. Some boards give the impression they believe they are hiring only the husband. She may get the impression—and this perception is very commonly reported—that all they wanted with her was to reassure themselves that she 'looked the part'."[5]

The importance of the wife's role in private colleges and public four-year institutions—less so in most community colleges—leads the majority of selection committees and boards of trustees to want to "look her over." It is equally important that she have an opportunity to look the institution over. The decision to move will in most cases be a joint one. The wife will be concerned over living conditions, the kind of community, schools for children, cultural opportunities, whether a house is provided and what it is like, what obligations she will have and the kind of help available. She may be the one who needs to be sold on the move. If her husband is to be content and effective in his new post, she must be satisfied with her role and environment.

The wise committee will make plans to woo the wife as well as the husband. She should be included in any campus visit, and while her schedule may well be different from her husband's, she will want to be included when crucial issues are being discussed. Husband and wife should be given time to reach a joint decision before he has to make a final commitment.[6]

AFTERMATH OF THE VISIT

At the end of the visit, or immediately thereafter while impressions are fresh, the reactions of people on campus need to be collected. These should be in written form and should be the judgments of individuals, not of groups. The committee of one eastern private college provided faculty and students with forms on which to summarize their reactions under the headings:

5. *The Partners*, Interstate Printers and Publishers 1977, p. 49. This is the best available analysis of the role of the president's wife, and it ought to be read by every trustee.

6. Several of our respondents commented on this last point, their wives having been involved at so late a date that they were virtually faced with a *fait accompli*. The president of one state college commented: "I would have liked my wife to have been a part of it as she must be for my effective functioning in the position. She was completely ignored in the process, and it made her adaptation to my and her new situation more difficult."

- Leadership
- Administrative experience and ability
- Educational philosophy
- Fund raising potential
- Ability to be spokesman for the college
- Dealing with trustees, alumni, faculty, students
- Personal qualities
- Scholarship

At some point the terms of appointment must be discussed with candidates. Many committees prefer to leave this to the trustees or to the chairman of the board. While many candidates are prepared to take on faith that satisfactory terms will be offered, it would be preferable that they know in advance of the final decision approximately what their salaries would be, the range of fringe benefits and the committee's expectations with regard to professional performance.[7] The chairman of the committee or the chairman of the board should outline the general picture at the time of the candidate's visit to the campus, if it has not already been covered.

The end of the visit is also the time to find out whether the candidate is still actively interested. The candidate may be told that he or she is the committee's first choice or is one of three or four whom the committee is prepared to recommend to the board, and that the committee needs to know whether the candidate will accept the position if offered.

Some candidates object to this procedure on grounds that the decision is too complex and too momentous to be made unless they are dealing with an actual offer. One can sympathize with this reaction. At the same time it must be recognized that the offer of the presidency is a complex and momento is decision for the trustees. If an offer is made, word usually leaks out. If the offer is turned down, the resulting situation may be awkward if not disastrous. Second and third choices, who under other circumstances would be happy to accept, may withdraw their names. Thus, to protect the reputation of the candidates as well as in their own self-interest, trustees need to know in advance whether the candidate will accept the offer if made.

After the visits, with campus impressions as additional data, the committee must decide on its recommendations. These may be a single name, a priority listing of more than one, or a slate without ranking—in accordance with the original charge under which the committee has been operating. With this decision the committee completes its major assignment.

There remain for the committee certain chores which are discussed in the last two chapters. Candidates must be notified of the final decision. Announcements must be prepared. A record of the committee's work and an analysis of the number and nature of the candidates considered should be prepared and filed for future reference. Apart from these the final step belongs to the board which must make the appointment and set the terms and conditions.

ADDITIONAL SOURCES OF INFORMATION

Donald E. Fouts: "Picking a President the Business Way," *AGB Reports*, vol. 19, no. 1, January/February 1977

Marguerite Walker Corbally: *The Partners*, The Interstate Printers and Publishers, Inc., 1977

Joseph F. Kauffman: *The Selection of College and University Presidents*, Association of American Colleges, 1974

"The New College President: Expectations and Realities," *Educational Record*, vol. 58, no. 2, Spring 1977

7. See the next chapter for specific details.

CHECKLIST #7—SELECTING TOP CANDIDATES

The final selection of the top candidates to be recommended to the board of trustees for serious consideration should be made on the basis of all available evidence, including:

1. A thorough, independent check on the candidates' backgrounds and various job performances. The committee will need to decide:
   a. Who should make these inquiries—the chairman, a committee team, an outside consultant.
   b. Whether to proceed by letter, telephone or on-site visits.
   c. How best to safeguard the candidates' privacy (if necessary).
   d. What the committee wants to know.
2. A series of visits to the campus by the candidates.
   a. Why campus visits are important.
   b. How many candidates should be invited?
   c. The importance of careful scheduling.
      (1) for how long?
      (2) who looks after the candidates?
      (3) whom should candidates meet?
      (4) what questions should be anticipated from the candidate?
   d. Importance of the visit from the candidate's point of view.
   e. Importance of including the candidate's spouse.
3. At the end of the visit the committee must:
   a. Collect and assess the campus reactions.
   b. Review with candidate tentative terms of appointment.
   c. Ascertain whether candidate still actively interested.
   d. Make recommendation to board of trustees.

STEP EIGHT—APPOINTING THE PRESIDENT

CHAPTER 8

The final decision is now in the lap of the board of trustees.

If the selection committee has recommended only one candidate, the board must either ratify or reject the committee's decision. Fortunately rejection rarely happens. When it does, the committee is asked to try again or is replaced with another committee—with understandable feelings of resentment on the part of the original members.[1] If the committee recommends more than one candidate, the board must make its choice either on the basis of the committee's data and rating or after conducting their own interviews with the candidates. They may, of course, elect to interview some or all of the committee's final candidates even when the committee recommends only one.

SINGLE VS. MULTIPLE NOMINATIONS

Should committees of search and selection end up with a single recommendation or should they present to the board of trustees a slate of acceptable candidates? And if the latter, should they rank them in order of preference or, as the trustees of one private university of national stature required, present them in alphabetical order?

For any particular committee the answer lies in the charge from the trustees, and this is just one of the many reasons why that charge needs to be stated in unequivocal terms. It is worth noting, however, that quite a few committee chairmen in our survey reported that, in spite of a mandate to recommend more than one candidate, they had ended up with only one nomination and were able to persuade the trustees to accept their decision. Conversely, one committee with instructions to present a single name was unable to decide between two candidates and passed the buck to the board by nominating them both. The board then made its choice by a four to one decision.

The following table gives the results of our survey of the number of candidates recommended by committees to their respective boards:

	single recommendation	where more than one range	median
4-year public	24%	1-6	3
2-year public	0	3.10	5
private university	50	1-5	3
4-year private	85	1-3	3
4-year church-related	58	1-8	2
2-year private	50	1-3	–

Private college and university boards clearly rely more heavily than public boards on the recommendations of the search and selection committees. The pattern of board decision in public four-year and two-year institutions is further underscored by the fact that in all but one of the four-year public colleges and universities where the selection committee made a single nomination the committee was composed entirely of regents or trustees.

The arguments for a single nomination are obviously quite strong—and in the private sector quite persuasive. A conscientious committee will by the end of its labors know more about the candidates and their "fit" with the institution than trustees who have not been directly involved. This position was strongly argued by the chairman of the committee of a well known church-related college: "When the committee is constituted as ours was to represent trustees (including alumni trustee), faculty, and students—I personally feel that it would be an avoidance of responsibility to recommend several candidates simultaneously. There is no possible way by which other trustees, alumni, faculty, and students could make the same type of careful and prayerful appraisal of the crop of candidates or even three or four of them, as was done by the committee. Any thoughtful committee would be unlikely to find several of equal merit."

Furthermore, a single nomination flatters the nominee. He or she can better endure the leaks in confidentiality which are likely to occur at this final stage since the chances of appointment are high. The risks of turning the selection into a popularity contest, discussed in the previous chapter, are reduced. If the candidate is at all reluctant or undecided, the awareness that he or she is the committee's one choice may be the decisive turning point.

Finally, there is the virtue based on necessity; the committee may have no real choice. The record suggests that committees seeking a slate of candidates not infrequently end up with only one on whom the members can all agree and whom they are prepared to recommend.

On the other hand, a single nomination, in spite of the legal authority of the board to decline to appoint, puts the all-important decision in the hands of the search and selection committee. If the trustees or regents are genuinely to exercise the power of appointment, they should have a choice. This is clearly desirable where the committee is composed of non-

1. **At one private university the search was conducted by an advisory committee consisting of faculty, students, alumni and administrators, but no trustees. The committee concluded that it could recommend only one candidate. At the insistence of the board the committee reluctantly presented three names, reiterating that they thought only one was acceptable. The board then interviewed all three and chose one who was not recommended. The advisory committee ended up fifteen bitter people, according to its chairman.**

trustees and where the trustee members play a very minor role. It becomes less important where the committee is dominated by its trustee members, where it has the full confidence of the board, and where the latter has been kept fully informed of the committee's progress.

It is sometimes alleged that the mark of a good committee is its success in finding three or more candidates, all of whom would make in the eyes of the committee satisfactory presidents. Such an outcome is certainly safer, since candidates have a way of withdrawing at the last moment and occasionally the first choice will find the terms of the offer unsatisfactory or will accept an offer from another institution. In such situations it saves time and possibly embarrassment if the board can turn at once to a second or third choice rather than ask the committee to go into a huddle once again.

The choice between a single recommendation and several will vary from institution to institution. It will depend for some on legislative or bylaw regulations. For others the temper of the institution will determine the choice. A high degree of mutual trust among the various constituencies, general agreement on the kind of person wanted and needed, the absence of divisive forces politicizing the campus tend toward placing major responsibility in the committee of selection. Where these conditions do not obtain, it is better for the trustees to have a choice of candidates and to be recognized as making the decision.

It is presumably this emphasis on the role of the trustees which leads some boards to request an unranked slate of names, but it is difficult to see either need or justification for it. If a committee cannot agree on its order of preference, which means that the members of the committee disagree on the merits of the candidates, it may simply present a list of possible names. In most cases, however, members of the committee will be able to agree on their ranking of candidates, and the board should have the benefit of their judgment. It may be, for example, that candidates A and B are virtually equal in the committee's eyes and C some distance below them; or A may be way out in front with the rest bunched well behind. This is information the trustees should have.

WHEN SHOULD TERMS OF APPOINTMENT BE DISCUSSED?

One does not decide to become a college or university president in order to get rich, but it would be naive to assume that candidates for a presidency—save in those religious orders where salaries are not paid or not retained—are indifferent to financial considerations. No doubt most candidates are prepared to proceed on the formula stated by one president-elect: "A number of things were taken on faith—and that faith was justified."

Sooner or later the terms of employment need to be discussed and agreed upon. Some committees have authority to outline such factors as salary, housing and the conventional fringe benefits, but negotiation over these matters is not the proper province of faculty and students. This is better left to the chairman of the committee (if a trustee) or to the chairman of the board. This can be done at the stage of interviews, at the time of campus visits or when a definite invitation is offered. If the board wants assurance that the invitation, if made, will be accepted, it is only reasonable that the candidate should know the practical terms of the offer. Otherwise he or she is being asked to proceed "on faith."

The fact remains, however, that the terms of employment are generally left to negotiation just before or just after a definite offer is made. Let it be clear that the responsibility for broaching the matter is the board's and not the candidate's. Most candidates will sympathize with the comment of one private college president: "As an inexperienced 'applicant' I regret that I treated terms of appointment rather casually in order not to appear 'pushy'." A state university president reported in our survey: "I had to insist on written understanding in contract." And his counterpart in another state wrote five months after taking office: "At no time have I received a formal (in writing) job offer. Salary and fringe benefits were in doubt until the week I assumed office." This is not the way to run a railroad! Approximately one-third of the new presidents in our survey indicated that the terms of their employment had not been made clear at the time of their official appointment. No significant difference surfaced between public and private institutions.

What form should the agreement between the board and the new president take? With the exception of only one group the most widely used form is a letter from the board chairman or the chief executive officer in a statewide system to the candidate setting forth the terms and conditions. The one exception consists of community colleges where formal contracts are the rule.

What is really surprising is the number of institutions where the agreement is entirely verbal. One would expect to find this occasionally in private institutions. The president of one such where arrangements had been oral only commented: "The information was sufficient in terms of my requirements. Others might prefer a more formal understanding." But in 11% of the four-year public institutions and 12% of the two-year no written agreements were exchanged.

Some formal written statement covering the terms of the appointment ought to be made in every instance. "I would give no one a

contract," wrote one board chairman who nevertheless set forth the terms in a letter to the president. The difference between a contract and a contractual letter is a fine one. The difference between a written and oral agreement is the difference between a good operation and a sloppy one.

TERMS OF APPOINTMENT

Terms of appointment is a broad phrase dealing with a wide variety of conditions and circumstances not always considered by either board or president at the time of decision. Indeed, less thought seems to be given to these matters than to the business of selection. Agreement is frequently postponed until circumstances force a decision.

In the majority of situations good will and common sense prevail, but our survey turned up disturbing evidence of expectations on the part of the presidents and even promises which were not fulfilled, leading to disappointment and disillusion.[2] A lot of heartache, dissaffection and future trouble would be avoided if boards, and chancellors in statewide systems, were clearer and more specific at time of appointment on the practical and professional arrangements for the new presidents. These fall into three groups: (1) financial, (2) professional and (3) administrative.

(1) Financial

The financial offer should cover most (though not necessarily all) of the following items:

salary
annuity or pension provisions
medical or health insurance
life insurance
moving expenses
president's house plus maintenance and repairs or housing allowance
household help
entertainment expenses
automobile and expenses
travel expenses
secretarial help for wife

Some of these items need little comment. Provision for retirement income, whether through TIAA-CREF or a state employee pension plan or some institutionally funded plan, is standard. Many medical or health insurance programs include some provision for life insurance. It is customary to provide moving expenses for the new president and his or her family.

Since the nature of the president's job requires extensive travel, the costs should be reimbursed. Perceptive boards will encourage wife or husband to travel with their spouse by covering their travel costs as well, state law permitting in the case of tax-supported institutions.

Housing for the president and his or her family varies widely. Many institutions—for example, the majority of community colleges and some of the smaller private and church-related colleges—make no provision, it being assumed that the president's salary is sufficient to provide for this as well as other family expenses. Many institutions, however, do provide a president's house as part of the compensation packet and because they expect the president to carry on a certain amount of official entertaining in his or her home. This is often a larger and more expensive establishment than the individual would choose. Since it is a college or university house, it should be understood that repairs and normal maintenance are the responsibility of the institution. This may apply as well to domestic service and to the not inconsiderable costs of official entertaining. At least there should be clear understanding from the start as to who pays for what. In some cases the official residence may not be suitable, and other arrangements will need to be made—and agreed upon in advance.

An official automobile is an optional item. It is fairly common for public four-year institutions to make one available. So do many of the larger and better financed private colleges and universities.

Also optional is secretarial help for the president's wife. At the university level the demand on her services—for entertaining, for community functions, for meetings of one sort or another—may be so great that a private secretary, full-time or part-time, may be essential. Where this is not considered necessary or appropriate, the availability of secretarial help from one of the college offices should be agreed to as part of the working conditions.

(2) Professional

Academic administration is a professional job. With the exception of a few individuals drawn from business, the military, law or the ministry, college and university presidents are pursuing a professional career in education—a career which usually begins with teaching and progresses through various educational and administrative steps to the presidency. Continued professional growth is extremely important not only to the president's effectiveness in his or her present assignment, but also in anticipation of a post-presidential career. Boards of trustees need to make provision for this need in terms of:

adequate vacation
leaves of absence
extramural activities
professional competence

Provision for a formal vacation period should be part of the contract or letter of appointment.

2. Consider the comment of the president of an institution in a statewide system in response to the question whether the terms of appointment had been made clear: "Vague letter of appointment from governor. Unfulfilled expectations were a source of frustration and disappointment. Benefits promised—maid service, car and meals—not forthcoming because of misunderstanding at board of state system." Housing is a frequent source of misunderstanding and unhappiness.

One month is normal, but sometimes six weeks or two months are agreed upon, especially where the president uses some of the "vacation" time for writing annual reports or making studies which cannot be efficiently pursued in the midst of campus pressures. Chairmen need to keep a friendly eye on the emotional and nervous condition of their presidents and should encourage them to take occasional breaks from the time-consuming demands of their office. Just as business executives restore their energy and drive and gain perspective on the broad issues with which they are concerned by winter as well as summer holidays, so college and university presidents need periodic opportunities for recuperation. In the long run the institution gains thereby.

In 1971 the Association of American Colleges adopted a statement on administrative leaves of absence which reads in part: "Because of the unique position of the president and the special planning required for implementation of a presidential leave, the governing board of the institution should assume responsibility for initiating this leave program and provide special funding to support it." The resolution emphasizes that the president should not be required to apply for a leave as though it were a special favor. It concludes: "As for any administrative leave, the precise terms of a presidential leave should be agreed to and stated in writing in advance."

Presidential leaves are less uncommon today than was formerly the case. Their value is being more widely recognized. It has been encouraged by the imaginative programs which the Carnegie Corporation and the Danforth Foundation have financed. Trustees are becoming more concerned to get the maximum return on their human investment. "Given the substantial investment a governing board makes in finding a president," writes Kauffman, "it is simply good management for the board to conserve this important resource. Leadership is a scarce and precious asset that should not be taken for granted."[3]

Just as some college and university presidents continue to teach—a practice which, however desirable and laudable, is becoming increasingly difficult to manage—so others will continue active participation in professional societies and conferences. In due course others will be invited to serve on corporate and foundation boards. Federal, state and local agencies may request service on special public service commissions or panels. All these serve to keep professional interests alive and enlarging. They add new dimensions to the presidents' stature, new perspectives to their understanding of contemporary society. Active participation in religious organizations is not only an extramural outlet for the individual, but also for the church-related college president an important contribution to the college. Presidents, who have little leisure for reflection, should seize opportunities for the kind of extracurricular activities which will give them perspective on their jobs. The need for this cannot be written into a contract, but its value should be recognized by the board.

Staying alive professionally is also an important hedge against the day when the president may want other employment. According to the National Center for Educational Statistics the average tenure, or years in office, of presidents of all postsecondary institutions for the past four years has been just over 8 years; public institutions ranging from 9 years for community college presidents to 6.6 years for those at four-year colleges and universities, private institutional presidents falling between 7 and 7.5 years.[4] This suggests that, unless the president is within the last decade of his or her normal working life, he or she will be moving on in due course to some other job. This may be another college or university presidency, but it may well be a return to former professional work or to a related field. The more professionally competent, the greater the likelihood of a successful transition.

(3) Administrative

Lumped under this general heading are the following:

starting date
retirement date
length of appointment
conditions of termination
criteria of performance
provision for review and evaluation

The starting date normally presents no difficulty, though it may need to be negotiated if the college or university is facing a sudden crisis or if the president-elect has commitments which cannot be gracefully cancelled.

Unless the institution's bylaws or a board resolution specify the age of retirement for administrative officers as well as faculty, the appropriate date of retirement for the incoming president (on the assumption, of course, that all will go well) should be discussed, and the proper time for settling this matter is prior to or at the time of appointment.

It should be clearly understood that all presidential appointments are at the pleasure of the board, for once the trustees have lost confidence in the president, the good of the institution requires his or her departure. There was a time when presidents were appointed for life, or at least for a pleasantly indefinite future. The figures on average tenure cited above suggest that boards today would be wise to proceed on different assumptions.

Should presidential appointments be for-

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3. *The Selection of College and University Presidents*, p. 61. See also two articles by David L. McKenna: "Recycling College Presidents" in *Liberal Education*, vol. 58, no. 4, December 1972; and "Ten Lessons of a Recycled President", vol. 63, no. 3, October 1977. Charles C. Cole, Jr., former president of Wilson College, analyzes the reasons for the resignations of 118 college and university presidents in the academic year 1975-76 in an article entitled "The Reeling Presidency," *Educational Record*, vol. 57, no. 2, Spring 1976. One of his conclusions is that presidents must learn to pace themselves in order to avoid exhaustion. "It is essential that busy presidents take leaves of absence and brief holidays for mental and emotional rest and refreshment. It is crucial not to be thrown off balance."

4. *National Center for Education Statistics: Education Directory, Colleges and Universities 1977-78.* Cohen and March in *Leadership and Ambiguity: The American College President*, McGraw-Hill 1974, Chapter 8, give ten years as the average length of a college presidency. Their limited

mally renewed year by year? Should they be for an indefinite period? Should they run for a given term of, say, five years? In recent years there has been a distinct trend toward term appointments. Clark Kerr, former president of the University of California and chairman of the Carnegie Council on Policy Studies on Higher Education, recommends that the president be given "a term appointment of reasonable length. This will give him, except under exceptional circumstances, a fixed period on which he can plan. At the end of the term, he will have an easy opportunity to review his own desires and for others to review his conduct. If he is reappointed, he will have received a reaffirmation of his authority as he meets new crises. In any event, opponents will not feel that they must wait forever for a change unless they mount massive opposition. A term of office could relax their opposition."[5]

Warren Bennis takes a similar line, arguing that term appointments give presidents more freedom and authority to take risks in new educational ventures, to stand up to opposition, in short to exercise the kind of leadership so widely demanded in theory and so extensively opposed in practice. He further points out that skills and styles go quickly out of fashion in contemporary society, so that both the institution and the individual need to reappraise the situation every so often.[6]

Whether a board appoints the president for a given term, which may of course be renewed, or for an indefinite period, it must realistically assume that the president is not likely to remain for more than ten years. Whether the departure occurs in accordance with some agreed upon schedule or as the result of board dissatisfaction with the president's performance, plans for the separation need to be laid in advance.

Boards and candidates assume, as do people getting married, that their lives together will be harmonious. They look to the future with confidence. It seems, therefore, slightly indecent to want to discuss what they should do if they find that they cannot live and work together. Yet this is precisely what is needed. The board needs to know that the new president will not desert the ship at short notice, and the president needs assurance that he or she will be given reasonable leave with salary if the axe should fall.

The sensible board will anticipate the possibility of trouble, however remote it may seem, and set forth the terms, conditions and circumstances of separation at the time of appointment. "Provision should be made at the beginning of a president's term for the possibility of termination," writes Charles C. Cole, Jr. "Ample severance pay, a period for the smooth transition of responsibilities, assistance in relocation, the phasing out of such fringe benefits as hospitalization and disability insurance—these are stipulations that it would be well to work out amiably rather than in a time of crisis when feelings may be strained and perspective warped."[7]

There is no standard contract or contractual letter covering the many items discussed above, but with a checklist of points to be covered it should not be difficult to draw up a satisfactory statement of agreement. Most of the chairmen in our survey reported that they had made clear the terms of appointment, but it was clear from the responses of the presidents that a third of them felt the reverse. To a large extent this negative reaction was based on a failure by the board to set forth the criteria of a performance by which they would be judged, and we shall now deal with that topic in a separate section.

CRITERIA OF SELECTION AND PERFORMANCE REVIEW

Surprising indeed shocking, as sometimes appears the laxity regarding practical terms of employment, the almost complete absence of statements on criteria of performance is the most astounding. The litany of presidential comments is disturbing.

"Matters of compensation were clearly set forth at the time of my appointment. 'Criteria of performance' were not, nor was a term of service specified. The mores of this board do not allow for negotiations of this kind."

"Salary and fringe benefits by letter of intent. No criteria of performance have been agreed upon—or stated. There is little uniformity in expectations and in criteria of performance."

"The board agreed to review of performance in the fifth year, but they never clearly spelled out the criteria to be used or the method."

"No information provided on criteria of performance. These clearly have been shifting and vary within the membership of the board, as well as with faculty, students, and alumnae."

An occasional chairman in our survey recognized that the board had not addressed itself to what the president was expected to do. The disturbing feature is that so many seemed unaware of any problem. "To run the college," one can hear them saying. "To direct the affairs of the university." Those are noble goals, but inadequate yardsticks by which to judge whether the president is doing his or her job.

To repeat the obvious, and too frequently ignored, the president is the agent of the board of trustees or regents. They set the policies—very often at the president's instigation and always, one hopes, with the president's participation. Within the policies so laid down the president must operate, and it is the board's responsibility to judge whether he or she operates well or ill or somewhere in between. How can the president know what is expected and how can the trustees judge how well the president has lived up to expectations unless there is prior agreement on

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sample raises some questions about the accuracy of this figure, though their argument that the average tenure has not significantly changed in this century, save for the Depression and World War II years when it was longer, runs counter to the current impression that the turnover in recent years has substantially increased.

5. "Presidential Discontent" in *Perspectives on Campus Tensions*, American Council on Education 1970, pp. 159-60.

6. *The Leaning Ivory Tower*, Jossey-Bass Publishers 1973, pp. 82-83.

7. "The Reeling Presidency," *Educational Record*, Vol. 57, no. 2, Spring 1976, p. 76.

what the institution needs?

"Standards of performance are the basis for review," writes James L. Hayes, chairman of the board of St. Bonaventure University and president of the American Management Associations. "In effect, we always review performance rather than the individual. When we do not have standards, then personal characteristics and emotional chemistry as well as politics take over and the system fails or justice falters.

"Standards should be negotiated with the incumbent if they were not a basis for hiring, and usually they are not. We still tend to hire to position descriptions which allow for wide interpretations of standards."

The trend is toward formal assessment of presidential performance at some stated interval, and this is frequently discussed at the time of appointment. The president has a right to know by what criteria he or she will be judged. The trustees have an obligation to state in writing what those standards will be. If they have done the job of analyzing the future needs and problems of the institution, discussed in Chapters 1 and 3 as the only proper basis for selecting a new president, they should be able to convert the results into a set of expertations for presidential performance on which a fair and intelligent appraisal can be based.

ANNOUNCING THE APPOINTMENT

The choice has been made, the terms agreed upon, and the appointment made official. There remains the public announcement, which is an institutional responsibility, and the private notification of unsuccessful candidates which belongs to the committee. The two aspects need to be coordinated.

Excitement will be high and rumors rampant. There is every reason for making a public announcement at the earliest possible date. That date must allow the president-elect time to notify his or her colleagues and superiors before they read about the appointment in the newspapers.

It must also allow time for the selection committee to notify any finalists who have not already been bowed out of the picture. If only a few remain, telephone calls will be the most gracious way of informing them of the choice. No one who has any reason to believe he or she might still be in the running should learn of the decision by newspaper or radio.

News releases will need to be prepared and distributed at the proper time. Copies might be sent to all candidates and to those who have nominated candidates. A little extra effort at this point will enhance the reputation and standing of the institution.

Alumni will need to be informed either by special announcement from the committee or the chairman of the board, or by an article reviewing the search, selection and appointment in the alumni magazine.

Two examples of typical announcements are appended.

ADDITIONAL SOURCES OF INFORMATION

Warren Bennis: *The Leaning Ivory Tower,* Jossey-Bass Publishers 1973, Chapter 4

Michael D. Cohen and James G. March: *Leadership and Ambiguity—The American College President,* McGraw-Hill 1974, Chapter 8

Charles C. Cole, Jr.: "The Reeling Presidency" in *Educational Record,* vol. 57, no. 2, Spring 1976

David L. McKenna: "Recycling College Presidents" in *Liberal Education,* vol. 58. no. 4, December 1972

——— "Ten Lessons of a Recycled President" in *Liberal Education,* vol. 63, no. 3, October 1977

Joseph F. Kauffman: *The Selection of College and University Presidents,* Association of American Colleges 1974

Clark Kerr: "Presidential Discontent" in *Perspectives on Campus Tensions,* American Council on Education 1970

"Guidelines for Conditions of Employment for College and University Presidents"—Policy Statement adopted by American Association of State Colleges and Universities 1957.

NOTICE OF PRESIDENTIAL SELECTION

The search for a new president of Hampshire College has come to a successful conclusion. The Board of Trustees has chosen Adele Smith Simmons. She will assume office on July 1, 1977.

Dr. Simmons has been Dean of Student Affairs at Princeton University since 1972. A graduate of Radcliffe College with honors in 1963, she received her doctoral degree from Oxford University in 1969. She was an Assistant Professor in History at Tufts University from 1969 to 1972 and an Assistant Dean from 1969 to 1970. She became Dean of Jackson College at Tufts in 1970. She has been a member of the Harvard University Board of Overseers since 1972. The new president is married and has two children.

The Search Committee is very proud of and enthusiastically supports the selection of Dr. Simmons from among a number of highly qualified candidates. The entire College community is looking forward to working with her as president.

The Committee wants to extend a special thanks to you for your participation in the search process. We appreciate your involvement and your interest in Hampshire College.

Mrs. Samuel L. Rosenberry
Chairman Presidential Search Committee

BEST COPY AVAILABLE

To: Members of the Carleton Community

March 28, 1977

The Presidential Search Committee recommended to the Board of Trustees on March 11 that Robert Edwards become Carleton's seventh president. The recommendation was approved by the Board and I am happy to tell you that Mr. Edwards has accepted the appointment.

Mr. Edwards was born in 1935, attended public schools in Middletown, Ohio, and graduated from Deerfield Academy in 1953. He graduated from Princeton University magna cum laude in 1957, having majored in English. He read law for two years at Corpus Christi College, Cambridge, and graduated from Harvard University Law School in 1961.

After two years in Africa and two years in the State Department, he joined the Ford Foundation staff in 1965. His first major assignment occurred in 1969 when he was made representative of the Foundation's Pakistan field office, serving there until 1972 through the Indo-Pakistan War. He was responsible for administration of programs in agriculture, population, university development and educational planning.

Mr. Edwards then returned to the Foundation's New York office and shortly became head of their Mid-East and Africa program, the post he now holds. This involves a professional staff in New York and overseas of about 40 persons, in addition to about 65 project specialists.

The Search Committee has found Bob Edwards to be extraordinarily able, with a fine intellect and warm personality. His lack of professional experience in academia is felt to be no disadvantage, for Carleton's issues and opportunities can be viewed in a fresh perspective. His considerable administrative experience, as well as a humane and wise approach to complex issues, can be attested to by your committee.

Bob and Ellen Edwards have two daughters, Eliza, aged 9, and Daphne, aged 8. An addition to the family is expected in May. Mrs. Edwards attended Wellesley College. The family will arrive on campus on or about September 1. Present commitments at the Ford Foundation prevent an earlier arrival at Carleton, but it is Mr. Edwards' intention to spend at least two weeks at Carleton during the summer months.

Sincerely,

Thomas M. Crosby,
Chairman
Board of Trustees

BEST COPY AVAILABLE

CHECKLIST #8—APPOINTING THE PRESIDENT

1. The appointment is made by the board of trustees. Should the board act on a single recommendation from the selection committee or make its choice from among a slate of candidates? Single choice is more common in private institutions, multiple choice in public ones.
   a. Advantages of single choice:
   (1.) Committee knows candidates better than board
   (2.) encourages candidate to accept.
   (3.) Works well where board trusts committee.
   b. Arguments for multiple choice:
   (1.) Places responsibility for choice squarely on board.
   (2.) Avoids embarrassing delay if first choice withdraws or declines.
   c. If committee recommends slate of candidates, board should have benefit of committee's ranking.
2. When, by whom, and how should terms of appointment be set?
   a. By discussion with committee before recommendation?
   b. By board chairman before board decision is reached?
   c. At time offer is made?
   d. Avoid awkwardness of leaving negotiations on terms until after offer has been made and accepted.
   e. How should agreement be stated?
   (1.) orally, i.e. gentlemen's agreement
   (2.) by letter from chairman or chancellor in state system
   (3.) by formal contract
3. The terms of the appointment should cover all or most of the following items:
   a. financial
   (1.) salary
   (2.) annuity or pension provisions
   medical or health insurance
   (3.) life insurance
   (4.) moving expenses
   (5.) president's house plus maintenance and repairs
   (6.) household help
   (7.) entertainment expense
   (8.) automobile and expenses
   (9.) travel expenses
   (10.) secretarial help for wife
   b. professional
   (1.) vacation
   (2.) leaves of absence
   (3.) extramural activities
   (4.) professional competence
   c. administrative
   (1.) starting date
   (2.) retirement date
   (3.) length of appointment
   (4.) conditions of termination
   (5.) criteria of performance
   (6.) provision for review and evaluation
4. The public announcement
   a. Timing—as early as possible.
   b. Inform top candidates *before* public announcement.
   c. Decide who and how information will be distributed to
   (1.) general public
   (2.) campus community
   (3.) roster of candidates and those who proposed candidates
   (4.) alumni

STEP NINE—WINDING DOWN

CHAPTER 9

Before the excitement has quite subsided and the dust completely settled, there are a few final steps to be taken.

FILING A SUMMARY REPORT

For the guidance of future committees and to comply with federal regulations, a final and relatively complete report of the whole process should be drafted and filed for future reference. Sometimes the chairman of the committee assumes this responsibility; more often it is done by the committee's secretary or administrative staff member.

Such a report is required by law, and it serves as protection against present or future complaints, accusations and even lawsuits. In a memorandum dated February 26, 1975, Peter E. Holmes, director of the Office of Civil Rights, attempted to explain to colleges and universities the various provisions of Executive Order 11246, as amended. One section of the memorandum reads as follows: "The Executive Order establishes the principle that federal contractors, including colleges and universities, are required to collect and maintain data on the race, sex and ethnic identity of all applicants for employment. The collection and analysis of such data is recognized as an essential means of providing both the institution and the federal government with the information necessary to monitor the compliance posture of the institution."[1]

As an appendix to this chapter will be found an example of the way one college summarized and tabulated the data on its many candidates.

Quite apart from this legal requirement stands the desirability of preserving for posterity a full account of a very important event in the life of the institution. Some future historian of the institution will welcome the light which such a report will shed on a long past event. But it will also serve a purpose in the nearer future. Memories quickly grow dim and erratic. Papers get lost or mislaid. Indeed, the confidential documents regarding candidates should either be destroyed or filed under lock and key for some set period of years. The committee obviously hopes that another search will not have to be undertaken for a long time to come. The chances are that, when it does occur, the committee will consist of entirely different people. A detailed report on procedures, problems and conclusions, which might well contain a section on what not to do, will be invaluable to the new committee.

An example of the sort of information which might be included in such a report is the following list of documents attached to a three-page summary of the composition, mode of operation and conclusions of an unusually well organized committee:

1. Excerpt from *Trustees in Higher Education* by Gerald P. Burns, Independent College Funds 1966
2. Flow Chart (indicating process of finding and selecting candidates)
3. Charge to Committee
4. Membership of Committee
5. Criteria of Selection
6. Recruiting Plan
7. Job Description
8. Advertisement and Information about
9. Letter Seeking Nominations
10. Letter from Chairman of the Board to Alumni and Parents
11. Memo on Legal Requirements
12. Mailing Lists
13. Outline Method for Handling Papers
14. Forms Used for Processing Information
15. Forms Used for Scheduling
16. List of Questions for Telephone interviews (for candidates reaching final stage)
17. Report to Equal Employment Opportunity Commission
18. Letter to Applicants (Thanks for)
19. Letter to Nominators (Thanks for)
20. Summary Report

EASING THE TRANSITION

The committee's work is now done, but someone—trustees or staff or both—must prepare the way for the president-elect.

Some new presidents face disappointed candidates within the institution. At best this can be an awkward situation; at worst it is disastrous. The politics of academia can be as brutal as anywhere else. The new president can expect a certain amount of aloofness bordering on hostility (though this would not be true of many unsuccessful internal candidates); but any attempts at obstruction or campaigns of denigration should be scotched at once—and not by the new president. It is the responsibility of the trustees, and especially of the chairman, to monitor the situation, to counsel closely with the president, and to take steps, sometimes drastic steps, to prevent sabotage of programs and the rise of factionalism.

If the president-elect has not had extensive administrative experience, he or she may be lacking in certain technical tools of the trade. Sometimes the president-elect will take the initiative in proposing one or more management training courses, but often the chairman will need to encourage the new president to attend special institutes or conferences in areas where the president needs support.

Unless the president-elect is an insider, there will be problems of transition from the old regime to the new. The new president will have much to learn about his or her new responsibility. Since the outgoing president will normally try to leave maximum flexibility for his or her

1. See the NACUBO *Guide to Federal Regulations* (June 30, 1978) prepared by Hanson and Pondrum, described in Chapter 4, footnote 3, of this study.

successor by making as few long-term decisions as possible, the incoming president will be faced with more than the normal run of important decisions.

The transition can be facilitated by regular conferences between the president-elect and various administrative and faculty groups on campus. Sometimes a liaison committee is helpful. Care must be shown not to shunt the outgoing president aside. He or she is still the central point of decision until the new president takes office. A perceptive and sensitive chairman can be enormously helpful during the delicate transition period. A memorandum drafted by a thoughtful administrative officer of a small private college, directed to the outgoing president and suggesting appropriate steps to ease the transition, will be found as an appendix to this chapter.

IN CONCLUSION

The analysis and recommendations contained in this study of presidential selection have emphasized time and again the importance of the selection process in the life of the institution. For everyone concerned the choice of a new president has traumatic implications. It is terribly important to get the right person. The methods used in determining that person are also important.

The analysis of institutional needs on which the criteria for the new president are based can unite trustees, faculty, administration, students, alumni and state educational officers on the mission of the college or university. The long and intense work of trustees, faculty, students and others on the search and selection committees breeds mutual understanding, and understanding breeds trust. Many chairmen in our survey testified to the healing and harmonizing effects of close cooperation in a common cause. And we hope that we have made the point that the manner in which the committee communicates with candidates, with those suggesting candidates and with references for candidates says something important about the nature and style of the institution. What can seem to be by-products of the selection process turn out to be among its most valuable (or damaging) results.

Our purpose in examining the various ways in which college and university presidents have been selected has been to extract certain guidelines for the most effective procedures. These will vary in detail from one type of institution to another, but the broad principles of what constitutes good practice remain the same for all. We hope that the analysis and recommendations here set forth will facilitate and improve the process, thereby strengthening colleges and universities at a critical point in their lives.

SAMPLE TABULATION OF CANDIDATES

I ACTIVE CANDIDATES

The total number of active candidates was 159. Subtracting the president-elect, the total number of active candidates ultimately considered was 158. The breakdown is as follows:

		% of 158	% of 357
Male	144	91.1	40.4
Female	14	8.9	3.9
Total	158	100.0	44.3

A. Nominees		**% of 77**	**% of 158**
Male	66	85.7	41.7
Female	11	14.3	7.0
Total	77	100.0	48.7

B. Applicants		**% of 81**	**% of 158**
Male	78	96.3	49.4
Female	3	3.7	1.9
Total	81	100.0	51.3

II INACTIVE CANDIDATES

The total number of inactive candidates was 198, which is subdivided into three categories: 1) eliminated/no response, 2) no action taken on the nomination, and 3) candidate formally declined. The breakdown is as follows:

		% of 198	% of 357
Male	150	75.8	42.0
Female	48	24.2	13.5
Total	198	100.0	55.5

A. Eliminated/ no response		**% of 49**	**% of 357**
Male	31	63.3	8.7
Female	18	36.7	5.0
Total	49	100.0	13.7

B. No action taken		**% of 15**	**% of 357**
Male	13	86.7	3.6
Female	2	13.3	.6
Total	15	100.0	4.2

C. Declined		**% of 134**	**% of 357**
Male	106	79.1	29.7
Female	28	20.9	7.8
Total	134	100.0	37.5

III THIRD-WORLD CANDIDATES

The figures here reflect only those candidates who were known to be members of the Third World Community. It should be recognized that there is a significant margin of error in that candidates were not required to identify them-

selves as minority group members. Therefore, the figures indicate only minorities who were identified by nominators, search committee members, etc. The breakdown is as follows:

		% of 21	% of 357
Male	8	38.1	2.2
Female	13	61.9	3.6
Total	21	100.0	5.8

A. Nominees		**% of 21**
Male	7	33.3
Female	13	61.9
Total	20	95.2

B. Applicants		**% of 21**
Male	1	4.8
Female	0	—
Total	1	4.8

C. Declined		**% of 21**
Male	4	19.1
Female	7	33.3
Total	11	52.4

D. No response		**% of 21**
Male	2	9.5
Female	5	23.8
Total	7	33.3

E. Eliminations		**% of 21**
Male	2	9.5
Female	1	4.8
Total	3	14.3

This chart differentiates from the other in that it completely accounts for all candidates known to be members of the Third World Community and therefore, does not make the distinctions between Active and Inactive. Some categories overlap but the totals remain the same. The percentages were restricted to the total number of Third World candidates and not related to the entire pool of candidates.

TRANSITION PLANNING FOR THE NEW PRESIDENT

(MEMORANDUM OF AN ADMINISTRATIVE OFFICER)

It is my sense that we must do everything possible to exploit the advantages of a new presidency and to overcome the factors which usually inhibit a smooth transition and the early ability to deal effectively and decisively with not only routine matters, but also with more significant problems. I, therefore, propose that you appoint, as soon as possible, a transition team to do the following:

1. Establish and maintain a close working relationship with the new president during the period from the acceptance of the offer until the opening of the college in September.

2. Prepare and provide for the new president basic information about the college generally and about specific questions and problems. Both the new president and the transition team should take initiative in identifying areas in which information should be provided.

3. Provide information about and work with the new president in learning about the basic procedures and processes with which the president must be involved. These would be, for example, personnel policies and procedures, reappointments, budget planning and decision-making, etc.

4. Prepare and provide analysis and recommendations regarding some of the college's central problems. These would probably include:
   a. Admissions
   b. The development of a stable, accountable structure for academic leadership
   c. Student attrition
   d. The creation of a clear and widely understood sense within the college of the institution's mission
   e. Fund-raising
   f. Organizational relationships and roles

The transition team should also initiate with the new president plans for the use of the new president's time in generating general publicity about the college. If the college is to get the most public relations advantage as possible from a new president, we must plan well before September for the kind of publicity the college wants to generate and the media coverage, speaking engagements, participation in conferences, etc., with which the president should be involved.

CHECKLISTS

CHECKLIST #1—ESTABLISHING THE MACHINERY

1. Is there general agreement on the needs and objectives of the institution in the next ten years? (See Chapter 3, pp. 28-31)
2. Is the institution ready for a presidential search or should an acting president be appointed? (p. 14)
3. a. Is there consensus on the kind of person the institution needs?
   b. If not, who will develop suitable criteria? (pp. 14-15)
4. Who will conduct the search and selection processes? (pp. 14-15)
   a. board as a whole
   b. committee of the board
   c. single search and selection committee composed of trustees, faculty, students and others
   d. dual committee structure—search committee in which non-trustees predominate committee selection in which trustees predominate
   e. single search and selection committee aided by one or more *advisory* committees of faculty, students, etc.
5. How will committee members be appointed? (pp. 15-17)
   a. by the board, its executive committee, or the chairman
   b. each group elects its own members
   c. each group elects under restrictions set by board
   d. board or chairman selects from nominations presented by each group
6. Does the machinery of selection reflect the diversity of the institutional community? Is its final recommendation likely to get widespread campus support? (pp. 16-17)
7. Has the board made clear to the committee(s) *in writing*—and to the public—the extent of and the limits to the committee's authority? (p. 17)

In many public institutions, especially those which are part of state-wide systems, the answers to some of these questions are mandated by law or bureaucratic regulation. Even where the chief executive officer of the system or the state's board of regents has the final choice, however, local institutional boards tend to exercise much more authority when it is a question of selecting a new president—and they should make the most of it.

CHECKLIST # 2—ORGANIZING THE COMMITTEE

Search committees at public institutions may want to organize themselves in somewhat different fashion from those at private colleges and universities. The similarities in organization and procedure, however, are greater than the differences, and therefore the following checklist will serve for public as well as private, four year as well as two year, institutions.

1. Select a chairman who has the time, concern and judicial qualities required for the task. (p. 20)
2. Arrange for adequate staff. Universities, both public and private, will need more staff than community colleges and small private institutions. The former should count on a full-time, or nearly full-time, administrative officer plus secretarial help. The latter can often manage with the part-time assistance of a college officer, but extra secretarial help will be needed at certain stages. Unless the search and selection are to be carried on in full public view, care should be taken to find supporting staff who will be thoroughly discreet. (p. 20)
3. Establish a timetable with target dates for each stage. Allow leeway for delays and slip-ups. The board should set the date on which it wants final recommendations. (pp. 20-21)
4. Decide whether to use outside professional help—a decision which will depend in part on a judgment regarding the experience and competence of the committee. Decide whether professional help will be used for one or more phases in the total operation, such as developing a pool of candidates or screening background investigating the backgrounds of top candidates. (pp. 21-22)
5. Set up a budget ample enough to meet costs. The best advice is not to scrimp. The outcome is too important. (pp. 22-23)
6. Maintain a complete record of the entire search and selection process. Equal opportunity/affirmative action regulations require such a record in most instances. The possibility of charges of favoritism, and in extreme cases of lawsuits, make a written record highly desirable. Decide at the start what should be included—minutes of meetings, decisions, memoranda on interviews and telephone calls. Such a record is more important for public institutions than for private, since the former have to operate more in the public domain. (p. 23)
7. Plan a program of public information. Where selection must be carried out in full sunshine, the committee should try to develop an understanding with the press to minimize damaging or embarrassing stories about individual candidates. Where committees seek to maintain confidentiality until final appointment, or at least until the stage of campus visits by the finalists, they must work out an accommodation with the media by which they will report on committee operations and progress, but not on individuals. Agreement should be reached within committees regarding the spokesman for the committee—normally the chairman. (pp. 23-25)

CHECKLIST #3—FORMULATING THE CRITERIA

1. Who will decide on the criteria by which the new president will be chosen? (p. 28)
2. What general qualities should every president have? (p. 28)
3. Where does an institution begin with an assessment of present and future institutional needs? What questions should be asked? (pp. 29-31)
   a. for any and every college and university (pp. 29-30)
   b. for public four-year institutions (p. 30)
   c. for private colleges and universities (pp. 30-31)
   d. for community colleges (p. 31)
4. What steps will best insure agreement on institutional needs and presidential criteria? (p. 31)

CHECKLIST #4—DEVELOPING THE POOL

1. Decide on the origin of the search for candidates (p. 36)
   a. Broadly based or limited?
   b. National or regional?
   c. Required by religious requirement?
   d. Pro's and con's for search firms? Use of a good personnel assistant as better alternative?
2. Will the committee seek nominations or applications or both? (p. 37)
   a. How widely does the committee wish to extend its inviting nominations?
   b. Should the vacancy be advertised? Where?
3. What must the committee do to meet the requirements of equal opportunity employer status? (pp. 37, 38, 40)
4. Outside professional services in general, e.g. names of candidates—to use or not to use? (pp. 37–39)
5. Each committee must decide whether to rely chiefly on those persons applying or ready to be considered or to seek out the talent and prospects and persuade them to consider the position. (p. 38)
6. Can one borrow from others' experience by sharing names? Pros and cons. (p. 38)

CHECKLIST #5—SCREENING CANDIDATES

1. What size should the "select list" be? This discussion should be included in the trustees' charge to the committee (p. 44)
2. Who will do the actual screening of candidates? (p. 44)
   a. The whole committee?
   b. one or more teams of committee members?
   c. advisory committee(s) of faculty and/or staff and students?
   d. the chairman or some one committee member?
   e. an outside consultant?
3. How extensive an investigation should the committee make? (p. 45)
   a. Should the committee limit itself to information provided by the applicants and nominators?
   b. How far should the committee go in seeking supplementary information?
4. How to acquire additional biographical data? (p. 45)
   a. by correspondence with applicants and nominators?
   b. by research in public reference books?
   c. through the candidates' references?
   d. through individuals not designated by candidates?
5. To use or not to use the telephone? (pp. 45–46)
   a. by whom?
   b. on an individual basis or with standard set of questions?
6. Should the committee hold early interviews with promising candidates? (p. 46)
7. What kind of rating system? (pp. 46–47)

CHECKLIST # 6—INTERVIEWING CANDIDATES

1. The committee should decide: (pp. 54-58)
   a. How to make interviews effective
   b. How many candidates to interview
   c. Where to hold interviews
      (1) on campus
      (2) neutral site
   d. On convenient and comfortable physical arrangements
   e. On schedule of interviews
   f. What questions to ask
   g. Who should do the interviewing
      (1) the entire committee
      (2) one or more teams
      (3) professional consultants
   h. What information to provide candidates
   i. How much effort to sell the candidates
2. At end of interviews committee should: (p. 59)
   a. Reduce the list of candidates
   b. Decide on next steps
   c. Inform candidates of their status

CHECKLIST #7—SELECTING TOP CANDIDATES

The final selection of the top candidates to be recommended to the board of trustees for serious consideration should be made on the basis of all available evidence, including:

1. A thorough, independent check on the candidates' backgrounds and various job performances. The committee will need to decide: (pp. 62-63)
   a. Who should make these inquiries—the chairman, a committee team, an outside consultant.
   b. Whether to proceed by letter, telephone or on-site visits.
   c. How best to safeguard the candidates' privacy (if necessary).
   d. What the committee wants to know.
2. A series of visits to the campus by the candidates. (pp. 63-68)
   a. Why campus visits are important.
   b. How many candidates should be invited?
   c. The importance of careful scheduling.
      (1) for how long?
      (2) who looks after the candidates?
      (3) whom should candidates meet?
      (4) what questions should be anticipated from the candidate?
   d. Importance of the visit from the candidate's point of view.
   e. Importance of including the candidate's spouse.
3. At the end of the visit the committee must: (pp. 68-69)
   a. Collect and assess the campus reactions.
   b. Review with candidate tentative terms of appointment.
   c. Ascertain whether candidate still actively interested.
   d. Make recommendation to board of trustees.

CHECKLIST #8—APPOINTING THE PRESIDENT

1. The appointment is made by the board of trustees. Should the board act on a single recommendation from the selection committee or make its choice from among a slate of candidates? Single choice is more common in private institutions, multiple choice in public ones. (pp. 72-73)
   a. Advantages of single choice:
   (1.) Committee knows candidates better than board
   (2.) Encourages candidate to accept.
   (3.) Works well where board trusts committee.
   b. Arguments for multiple choice:
   (1.) Places responsibility for choice squarely on board.
   (2.) Avoids embarrassing delay if first choice withdraws or declines.
   c. If committee recommends slate of candidates, board should have benefit of committee's ranking.
2. When, by whom, and how should terms of appointment be set? (pp. 73-74)
   a. By discussion with committee before recommendation?
   b. By board chairman before board decision is reached?
   c. At time offer is made?
   d. Avoid awkwardness of leaving negotiations on terms until after offer has been made and accepted.
   e. How should agreement be stated?
   (1.) orally, i.e. gentlemen's agreement
   (2.) by letter from chairman or chancellor in state system
   (3.) by formal contract
3. The terms of the appointment should cover all or most of the following items: (pp. 74-76)
   a. financial
   (1.) salary
   (2.) annuity or pension provisions
   medical or health insurance
   (3.) life insurance
   (4.) moving expenses
   (5.) president's house plus maintenance and repairs
   (6.) household help
   (7.) entertainment expense
   (8.) automobile and expenses
   (9.) travel expenses
   (10.) secretarial help for wife
   b. professional
   (1.) vacation
   (2.) leaves of absence
   (3.) extramural activities
   (4.) professional competence
   c. administrative
   (1.) starting date
   (2.) retirement date
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   (5.) criteria of performance
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   a. Timing—as early as possible.
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